

Managing Organizational Change during Institutional Upheaval

Bosnia-Herzegovina's Higher Education
in Transition

by

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Managing Organizational Change during Institutional Upheaval: Bosnia-Herzegovina's Higher Education in Transition

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Abstract

This study focuses on organizational change in non-stabile environments. Non-stabile environments are characterized by dramatic change at societal, economic and political levels caused by, for example, changes in political regime or armed conflict. The literature suggests that higher education plays an important role in assisting such societies through such turbulent and dramatic times. Past research, with both international and national focus, has identified various responses of higher education institutions to a changing environment. However, an explanation as to how different responses occur is missing. In an attempt to address this issue, this study examines the ongoing processes of organizational change and the role of individuals in such processes in detail. While the empirical focus is on change in organizations hosted by an environment that can be described in terms of institutional upheaval, it is recognized that this topic has received limited attention in the field of organizational research. Exceptions to this are studies into organizational change of previously state-owned enterprises in Central and Eastern Europe.

The context for the study is two higher education institutions in Bosnia-Herzegovina - a context characterized by dramatic societal change and transitions over the past fifteen years. This is a qualitative case study of the phenomenon of organizational change. Such change occurring during institutional upheaval is considered as incorporating both episodic and continuous change. By applying strategies of process research, interview and documentary data were analyzed with the help of Qualitative Software for Data Analysis (NVIVO 7).

Findings indicate that organizational change during institutional upheaval can be understood as a dual-motor change process taking place under conditions of strategic ambiguity, and resulting in politicized sense-making. As an outcome, organizations are found to be oscillating between endpoints of change. More specifically, by proposing a model that consists of three phases of organizational change, it has been demonstrated how, in ambiguous situations, influential individuals act as initiators of organizational change. However, upon gaining momentum, the nature of ambiguity changes. Thereby, the change process is assumed to unfold in a cyclical manner between conditions, actions and outcomes.

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Oslo, March 2008
Dijana Tiplic

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Abbreviations

| | |
|---------|--|
| ACA | Academic Cooperation Association |
| BAM | Bosnian Mark |
| BiH | Bosnia-Herzegovina |
| BOSHMAN | Education Management Research and Training in Bosnia-Herzegovina |
| BT | Bologna Team |
| COE | Council of Europe |
| CRE | Association of European Universities |
| EC | European Commission |
| ECTS | European Credit Transfer System |
| EHEA | European Higher Education Area |
| EU | European Union |
| EUA | European University Association |
| EURAM | European Academy of Management |
| FBiH | Federation of Bosnia-Herzegovina |
| GPA | Grade Point Average |
| HEAD | School Management Training for Accountable Quality Education |
| HECB | Higher Education Coordination Board |
| IC | International Community |
| IT | Information Technology |
| NTNU | Norwegian University for Science and Technology |
| NVIVO 7 | Qualitative Software for Data Analysis |
| OECD | Organization for Economic Cooperation and Development |
| OHR | Office of the High Representative |
| OSCE | Organization for Security and Cooperation in Europe |
| QA | Quality Assurance |
| RS | Republic of Srpska |
| R&E | Research and Education |
| SOE | State-owned enterprise |
| UN | United Nations |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNIQUAL | Universities' Quality Development under Globalization |
| UoSA | University of Sarajevo |
| UoTZ | University of Tuzla |
| UTIC | University Tele-Informatics Center |
| WWII | World War II |

1. Introduction

It could be said that one of the most challenging aspects of modern society is the understanding and management of change. Over the past three decades, global change trends such as technological advances and globalization have influenced the ways modern societies operate. In addition to these global trends, regional trends are also shaping the behavior of states and societies. For example, in Europe tremendous changes have resulted from the fall of communism¹ in 1989 and due to developments, especially regarding expansion, in the European Union. The subsequent requirements for unity across Europe are also leading to states having to engage in change whether they like it or not, which raises the subject of drivers of change, and of the idea of forced as opposed to 'natural' change.

In modern society, the formal organization became the tool of social action. Hence societal change is interrelated to organizational change as well. Students of organizational theory and management build models including numerous factors that may either influence or help understand organizational change. These models are mainly focused on the everyday concerns of individuals and organizations operating in relatively stable social, political and economic systems. To these models, history has added one more factor: the sudden transition from one political, social and economic regime to another. Sometimes, however, these sudden transitions are the result of, or are followed by armed conflicts, so that the radical nature of transitions is further exacerbated. In such societies, usually characterized by the collapse of their social, political and economic systems, the system of meaning that individuals and organizations use to make sense of their lives has often also been destroyed. Whereas past research has shown that individuals can either adapt quickly to new situations or remain entrenched in the past order, an organization's reaction to change is likely to be more complex. Organizations will be subjected to the imposition of outside rules, but will also rely on the many other factors such as: how different individuals within those organizations interpret and implement the changes, how these individuals interact, what are the ethos of the organization, and so on. This very complex interplay of factors means that predicting how an organization will respond to change is very difficult, if not impossible. Thus it seems natural to ask how do organizations change in order to survive during these unavoidable and, most likely, painful transition periods that tend to be

¹ Communism and socialism are used as interchangeable terms throughout the study.

defined in organizational literature as periods of institutional upheaval² (Newman & Nollen, 1998)?

Institutional upheaval assumes radical simultaneous changes at micro-, meso-, and macro- levels (Soulsby & Clark, 2007). Newman and Nollen (1998: 59) described institutional upheaval as a nascent and chaotic context, for example, where there was sudden radical deregulation in an industry, bank loans were impossible to obtain, new legal and financial institutions evolved slowly, privatization took place in situations where companies were not valued on the market, and fraud was all too common. In addition to these characteristics of institutional upheaval, the post-conflict environment adds one more dimension: destruction of human and physical resources and all other negative consequences that follows from it (i.e. brain drain, poverty, and damages to society and its tradition, values, culture, to name a few). After several years of stagnation in the aftermath of the conflict, society and its institutions engage in recovery and rebuilding. This period of recovering and rebuilding presents a context for organizational change during institutional upheaval in this study.

One of the European countries that embodies many of the exceptional change factors already discussed is Bosnia and Herzegovina (hereinafter BiH). It is a post-socialist and post-conflict country. Its post-socialist transition started at the beginning of 1990s, whereas the armed conflict took place during 1992-1995. This conflict led to further redrawing of regional boundaries dividing the country internally. Post-1995 BiH's societal transformation is the context for the present study. A key element of fundamental societal transformation is the reform of higher education (Leitner, 1998). This viewpoint suggests that society undergoing transformation needs to be especially concerned with changes in its higher education system. Hence this study takes as a point of departure to examine changes in BiH's higher education institutions that are subjected to various pressures to change.

BiH's higher education institutions are influenced at all levels by a changing context. At the society level, the change is a result of moving from socialist regime to free democracy. At the institutional and organizational levels, the change is a result of change initiatives stemming from a wider European context to develop European Higher Education Area (EHEA). These initiatives are summarized in the Bologna Declaration, a document signed by ministers of education of twenty-nine European countries in Bologna in

² Other authors used terms such as institutional collapse (Scott, 2002), societal transience (Clark & Soulsby, 1998), or transition economies (Chiaburu & Chiaburu, 2003).

1999. This Declaration is a political statement aiming at harmonization of higher education issues across Europe. BiH's ministers of education signed the Bologna Declaration in 2003. At the individual level, the change is a result of efforts of powerful individuals 'fighting' for influence and control over the issues, such as who should control higher education reforms and to what ends.

Although this is a study into organizational change of higher education institutions in BiH, the inquiry is concerned with more than higher education. BiH's higher education institutions are considered as organizations facing institutional upheaval. This study documents how two of BiH's university organizations responded to external pressures for change and how they engaged in the process of change during a time of institutional upheaval at both the individual and management levels. We cannot study organizational responses without studying organizations, and studying organizations means studying organizational members. As March and Olsen (1976: 63) put it: "[d]espite ambiguity and uncertainty, organizational participants interpret and try to make sense of their lives. They try to find meaning in happenings and provide or invent explanations." As a result, this study challenges the common conception of change as linear and planned, and looks at the phenomenon of organizational change during institutional upheaval. This has been taken to include how the people involved in change perceive their situation, as well as how organizational action is constrained or enabled by the existing institutional framework at the time of upheaval (i.e. system of structures and processes at intra- and inter-organizational levels). In addition, while much research into organizational change puts the emphasis firmly on implementation (King & Anderson, 2002), this study focuses mainly on the period when change is initiated, and thereby looks to identify the drivers of change. In particular, given the context of BiH, the study will concentrate on trying to identify and evaluate external stimuli for change, organizational members' responses in perceiving and directing the change, as well as facilitators of the change process.

This study proposes that organizational action matters, especially in cases of chaotic institutional upheaval. Therefore, we must look at the organizations themselves and at their reactions to change. Such an undertaking involves the search for pressures upon organizations from within and outside of their formal structures. Environmental forces produce pressures for organizations to adapt to these pressures. The pressures and organizational responses to them partly determine what can and will be accomplished. Thus, organizational responses to change may themselves be a determinant of institutional change.

In what follows, the purpose of the study is outlined by addressing two bodies of literature: higher education research field and organizational research within post-socialist context. Then the main research questions are presented, followed by a brief outline of the theoretical framework. Thereafter, an overview of methodological approach is presented. Finally, the general structure of the thesis is outlined.

1.1 Purpose of the Study

Although Chapter 2 will provide more details about the research inquiry, a brief overview of main arguments motivating the present study is presented in this section. There are two main interrelated motivating factors for the present study. The first one considers the higher education research field, whereas the second one considers broader organizational research field. The reason for emphasizing these two motivating factors is that they relate to two important considerations underpinning the study. The first is that in situations of institutional upheaval, organizations are looking for other, similar organizations with which to compare themselves – in this case, other higher education institutions undergoing changes. Thus it was important to consult the higher education research field and how is organizational change studied in this field. The second motivating factor is that a limited amount of research is conducted into organizations facing radical, wholesale change in their environments. An exception to this is studies of organizational change in the former socialist state-owned enterprises (SOEs).

Research into the field of higher education rests on the analysis of four spheres of knowledge: quantitative – structural related; knowledge and subject related; person, teaching, and research related; and organization and governance related (Teichler, 1998). Considering Teichler's (1998) typology, this study is concerned with the fourth sphere: organization and governance. Research on organizational change in higher education has developed particularly over the past three decades, mainly by addressing changes caused by external pressures for higher education institutions to be more efficient and accountable. The external pressures, which can take the form of several contemporary trends influencing higher education institution, have been the subject of a number of studies. These studies involved, among others, public sector reforms in higher education (Bauer, Askling, Gerard Marton & Marton, 1999; Bleiklie, Høstaker & Vabø, 2000; De Boer & Huisman, 1999; Meek & Hayden, 2005), the marketization of higher education (Gumport, 2000; Kirp, 2003; Massy, 2004), corporatization of higher education (Gould, 2003), and not at least managerialism in higher education (Amaral, Magalhaes, & Santiago, 2003; Birnbaum, 2000; De Boer, 2003; Gumport, 2000; Meek, 2002; Salminen, 2003; Teichler, 1998). As a result, it has been claimed that change in higher education resulted with

new (Clark, 2003; Duke, 2002; Marginson & Considine, 2000; Schuller, 1995) or hybrid (Mouwens, 2000) forms of university organizations.

In addition, studies on organizational change in higher education tend to take a comparative approach across and within national contexts in order to understand changes in higher education institutions (see Amaral *et al.*, 2003; Kogan, Bauer, Bleiklie & Henkel, 2000; Leitner, 1998; Teichler, 1998). While a comparative approach can identify and document differences and similarities among countries and institutions, it has been recognized that such an approach does not explain *why* there are differences in organizational responses to changing environment. Therefore, it is considered important to account for the micro processes of change within higher education institutions themselves. This study aims at developing a conceptual framework that would address micro-processes of organizational change. It is considered that these micro-processes of organizational change and role of individuals in these processes are particularly emphasized in societies and organizations facing institutional upheaval. This emphasis on societal transition and conditions of institutional upheaval introduces the second motivating factor for this study.

Past research of organizational transformation and change has tended to focus on organizations situated in a relatively stable context (Newman, 2000). The extent to which an environment was considered non-stable was the extent to which either the competitive environment became turbulent (e.g. the personal computer industry), or various types of deregulations took place (e.g. the telecom industry). Crisis periods in the environment - described as 'environmental jolts' (Meyer, 1982) - were periods of short incidents or short-term crisis, e.g. strikes. This study addresses a situation where there is a 'constant crisis' for an extended period of time, where the 'rules of the game' (North, 1990) have been eroded or even erased. Such a nascent, or even chaotic, institutional context is known as 'extraordinary institutional upheaval' (Newman & Nollen, 1998).

King and Anderson (2002) claimed that studies of organizational change tend to focus predominantly on the management of 'formally and planned changes' (pp. 4). However, it has been recognized that managing in changing conditions is qualitatively different from managing under steady-state conditions (Meyer, Goes & Brooks, 1993: 67). Thus Newman (2000: 603) claimed that "little work has been done on how organizations react to change in their competitive environment while wholesale changes in the institutional context are underway" and that "no theory of intra-organizational change deals explicitly with an external environment that is so chaotic". Organizational research in post-socialist Central and Eastern European's for-profit SOEs has attempted to address this gap. As a result, a

number of studies into organizational change of SOEs took place within, among others, a Hungarian (Taplin & Frege, 1999), Czech Republic (Clark, 2004; Newman & Nollen, 1998), and Russian context (Dixon, Meyer and Day, 2007; Schwartz & McCann, 2007). By claiming that “understanding eastern organizational forms using western-inspired conceptual devices and paradigmatic reference points is rendered problematic” (Hollinshead and Maclean, 2007: 1571), organizational research in a post-socialist context is considered to contribute to the research field by offering more culturally sensitive organizational theory (Soulsby & Clark, 2007). In sum, this study is concerned with organizational change as a process unfolding in public sector, non-profit, organizations facing institutional upheaval.

After presenting the purpose of the study, the subsequent section will introduce research questions to be addressed.

1.2 Research questions

Organizational change, transformation, and transition are three terms often used interchangeably within the field of organizational research. All these terms indicate a degree to which the entity in question is changing. Theories of transformation focus upon events that account for organizational change (Van de Ven & Poole, 1995), while theories of transition explain the processes by which destinations are or are not reached (Cule & Robey, 2004: 231). This introduces the concept of transformation as indicating a higher degree of change than transition. Since the inquiry in this study is focused on the process of change, this study will mainly use the term ‘organizational change’ in relation to transition in order to avoid confusion and overlapping of terms.

Planning for the future with objective accuracy is obviously not a simple task. To handle such uncertainty, organizations rely on developing their capacity to deal with events and circumstances as and when they emerge. Periods of institutional upheaval may provide conditions for questioning prevailing organizational models. In addition, these periods are considered to be a time when both the old and new set of organizational values are in place, resulting in an imminent paradigm shift. Moving from an established paradigm of ideas and structures to another is a radical and imperfectly understood set of events (Hinings & Greenwood, 1988: 117). As this study is interested in the process of change rather than speculating on the nature of future organizational form in the organizations studied, the main research question is:

How does the organizational change process unfold in a context of institutional upheaval?

When shifting an inquiry from organizations to organizing, there are certain consequences for the type of research questions that will guide the study. The main interest is no longer how to endorse changes that are either planned for the future or consequences of environmental pressures. The main focus becomes how change is managed by those affected by the change itself. Therefore, two types of considerations present themselves: a pattern of interest for change – or a change *direction*; and reasons for change ‘going’ a certain way – or *facilitators* of change. With regard to the first type of consideration, one way to understand the process of change is to look for repositories of organizational action, i.e. how change initiatives are established, how they are developed and what is learned from them – in other words, a notion of ‘*what* change’. As a result, the first research question reads:

1. What is the pattern of change in a context of institutional upheaval?

With regard to the second type of considerations, the context of institutional upheaval is assumed to play a significant role in understanding the facilitators of organizational change. For instance, Hinings and Greenwood (1988: 49) argued that if the historical context acts as a constraint, and if any changes in that context produce pressure for organizational redesign, then an understanding of *why* and *how* a particular organizational response is produced is necessary. Hence the two additional research questions:

2. Why does the organizational change during institutional upheaval happen?

3. How is the process of organizational change during institutional upheaval managed?

These research questions also reflect Pettigrew’s (1997: 338) suggestion that “most process studies are preoccupied with describing, analyzing, and explaining the what, why, and how of some sequence of individual and collective action”. As a result, the three research questions address the question of *what*, *why*, and *how* the process of change is managed in organizations facing institutional upheaval.

1.3 Choice of theoretical framework

This section provides a brief overview of the theories and models selected in the theoretical Chapters 3 and 4. From the literature review, three approaches to studying organizational change can be identified: institutional theory, resource dependence theory, and a political perspective. These approaches

have been influential in addressing organizational change in higher education and formerly SOEs. However, it has been noted that the explanations offered by each of these perspectives alone are based on a rather incomplete view of processes of organizational change during institutional upheaval. Therefore, a closer insight into the additional avenues of explanation was considered to be necessary. This led to the introduction of the sense-making perspective due to two reasons: first, this perspective has been employed by those studying strategic management in higher education institutions (e.g. Gioia & Chittipeddi, 1991); and second, it has been utilized in some of the studies addressing change in formerly SOEs in the post-socialist period (e.g. Clark, 2004). On the understanding that these four perspectives may complement each other in explaining the processes of organizational change during institutional upheaval, the next step was to identify an interpretive framework for the subsequent data analysis.

Since the objective of this study is to explore and understand the process of organizational change during institutional upheaval, factors that might provide an insight into the directions of change and factors that might facilitate the change³ were considered of importance. As a result, this study has utilized the theory of strategic organizational design change (Hinings & Greenwood, 1988), and its concepts of organizational archetypes and tracks (Hinings & Greenwood, 1988; Miller & Friesen, 1984), when accounting for the direction (or pattern) of change. When it comes to the facilitators of change, the sense-making perspective (Weick, 1995) recognizes ambiguity as an occasion for action. In an iterative process of consulting theoretical explanations and revising data patterns, two facilitators of change are recognized and represented by the concepts of ambiguity and coordination. Then the interpretive framework for data analysis is summarized by arguing that organizational change during institutional upheaval is accompanied by the presence of multiple interpretations, which in turn provide opportunities for coordinating change efforts. It has been argued that these two processes are particularly helpful in managing organizational change during institutional upheaval. The theoretical discussion in Chapter 4 focuses on the relevance of these factors for the change processes during institutional upheaval.

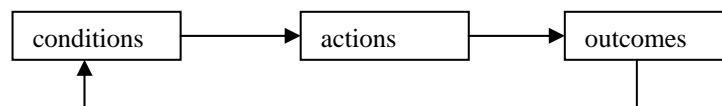


Figure 1.1 Studying a change process

³ More detailed arguments for the use of these factors are provided in Chapters 3 and 4.

In addition, by consulting change typologies (Van de Ven & Poole, 1995; Weick & Quinn, 1999), organizational change during institutional upheaval is considered to be a ‘situated’ change (Langley & Denis, 2006; Orlikowski, 1996), suggesting that it is both episodic and continuous change. Such change, as it is argued further, may be understood by employing the dual-motor process of change, accounting for interplay between conditions, actions and outcomes, as shown in Figure 1.1.

1.4 Methodological approach

Methodological approach and choice of the research design are addressed into more details in Chapter 5. The account presented below provides a brief overview of the methodological approaches chosen.

This study has adopted the case study research strategy in order to accumulate empirical materials and construct theoretical explanations. In the case study methodology, this would mean that a case is ‘made’ (Ragin, 1992), since “it stands for certain general features of the social world focused in a particular circumstance” (Walton 1992: 122), and is “associated to a specific family of phenomena, which in turn has significance for general social scientific thought” (Ragin, 1992: 14). Here the case is the phenomenon of organizational change during institutional upheaval. The empirical material presented in a form of events happening does not make sense by itself, but only in the context of the phenomenon studied. The case study approach is deemed appropriate given the research purpose and objectives earlier described. While it is acknowledged that using the case study approach makes it difficult to predict how an organization will respond to specific pressures, the deeper and richer understanding of intra-organizational dynamics offered by this approach is seen as a compensatory advantage.

As a result, ‘theoretical sampling’ (Glaser & Strauss, 1967) has been employed in this study, since the phenomenon of organizational change during institutional upheaval is considered as taking place in a context of higher education reforms in BiH in the period 2000-2006. The empirical study of BiH Universities is considered to be a useful example of studying organizational response under high uncertainty and ambiguity – a characteristics common to a majority of studies conducted in organizational research in a post-socialist context (Soulsby & Clark, 2007). Organizational change within BiH’s post-socialist, post-conflict context faced particular challenges, which started after the breakdown of the socialist system at the beginning of the 1990s. However, unlike other post-socialist countries where similar processes took place, in BiH the fall of socialism was followed by an armed conflict that lasted for four years, from 1992 to 1995, and from which

society is still recovering. This context is considered as a unique opportunity to study the effects not just of one pressure of change (i.e. political, social and economic critical upheaval) but with the added chaos and drama of an armed conflict. Because of the extreme situation in BiH, it is likely to reveal processes of change, which may be not so easily observed in other situations. The external pressures for reforms and the internal pressures for changes to university organization (considered as obsolete by many of its organizational members) pointed towards a change whereby the existing, historically autonomous institutions (faculties⁴ and academies) would be integrated within a central university organization. However, what was missing is any conception of how this shift might possibly occur over time.

This study has also employed a process approach in order to analyze the phenomenon of organizational change during institutional upheaval. Traditional quantitative approaches to organizational change 'hide' changes at the micro-level i.e. micro-processes in organizations. On the other hand, some qualitative approaches take a phenomenon of change descriptively, not analytically. This qualitative study aims at an analytical discussion of change and to document the process of - what happened, why it happened, and how it happened. In this way, the effect of events such as the introduction of a new credit point system for students, the establishment of a new University Office for Reforms, or new study programs, are examined and evaluated. Employing a process approach is supported by Soulsby and Clark (2007: 1426), who have suggested that the chaotic post-socialist period of transformation provides a "unique opportunity to study organizational change as a process". In addition, it was suggested that studying this process "enables researchers to understand better social actors' own experiences of change and the ways in which they have made sense of and given sense to organizational processes when their 'organized' character is under threat" (Soulsby & Clark, 2007: 1432). Thus this study is also aimed at understanding the phenomenon of organizational change through examining the ways actors made sense of their context and organizational change.

While the unit of analysis in this study is a phenomenon of organizational change during institutional upheaval, two BiH's Universities are selected for the data collection. They were chosen for their difference in organizational structures, which was assumed to provide 'maximum variation' (Yin, 1994) within the phenomenon of organizational change studied. The first study site, the University of Sarajevo, represents an organization attempting to alter its internal practices and to redefine its mission. The second study site, the University of Tuzla, is an organization undergoing restructuring, which

⁴ This study will use terms of 'faculty', 'academy' and 'college' for denoting organizational units of an university.

was put in place by the new legal act in 1999. The two universities chosen for the study were alike in the following characteristics: teaching and learning methods; broader context of socio-political change; and legacy of self-management.

1.5 The Structure of the Thesis

The remainder of this thesis is organized into ten chapters, each of which is described briefly below. However, the order in which the chapters and results are presented is not the order in which they were generated.

Chapter 2 positions this study in the academic debate on organizational change in higher education, and in organizational research. Chapter 3 introduces a theoretical framework incorporating some traditional approaches to organizational change, as well as suggesting three sets of factors that help the understanding of organizational change during institutional upheaval. Chapter 4 outlines characteristics of organizational change during institutional upheaval, and outlines an interpretive framework for data analysis and a conceptual model for the evaluation of findings. Chapter 5 describes the research process utilized in this study, including the the case study research strategy, the process study approach, data collection methods, data analysis procedures and criteria for research quality. Chapter 6 is both descriptive and analytical. It outlines the context of the study and the specifics of higher education reform efforts in the BiH context. It also describes the changing external environment. The end points of change are analyzed in the last section. Chapters 7 and 8 provide descriptions of the data and analyses of change patterns (i.e. events and outcomes), ambiguity (i.e. prevailing conditions for change), and coordination (i.e. organizational action for change) within the two university organizations under scrutiny. Chapter 9 summarizes findings for the two organizations studied and presents an analysis of similarities and differences in the change process of the two organizations (i.e. a cross-site analysis is presented). Chapter 10 interprets the study findings in light of the conceptual model from Chapter 4. Finally, Chapter 11 presents a concluding discussion, and limitations, as well as draws implications for further study.

2. Higher Education and Organizational Change during Institutional Upheaval

This chapter aims at positioning the research inquiry in the present academic debate on organizational change in higher education. It is assumed that, by examining the micro processes of change within a university organization, nuances will be revealed that would otherwise not be captured by prevailing approaches in higher education research. In addition, as the research context includes a post-socialist and post-conflict setting in the wake of institutional upheaval, it is considered necessary to include a body of literature related to organizational research in the post-socialist context. Therefore, there are two motivations for the present study. The first is to address a substantive area of organizational change in higher education by an examination of micro processes of change in universities. The second is to address the theoretical universe on organizational change by the examination of organizational change during institutional upheaval. These two motivations are outlined in this chapter.

2.1 Why Study Organizational Change in Higher Education?

Literature on organizational change in higher education seems to follow two main lines of interest: one mainly preoccupied with discussing various organizational models of higher education institutions, the other with discussing the influence of various reforms at the system, organizational and individual levels. The theoretical universe of this work encompasses several areas, such as institutional theory, resource dependence theory, and the political perspective. Even though the focus is mainly on the higher education institution *per se*, the relationship between the institution and its external environment is considered to be crucial to the understanding of intra-organizational dynamics. This relationship is altered by factors ranging from the changing contract between higher education and government to the new position of higher education institutions in a knowledge society. In addition, several trends were observed: the marketing of higher education, managerialism in higher education, and role of academic culture in the change processes. However, before turning to discussion of these trends and their influence on university organization, it is necessary to establish the context within which change was to take place.

2.1.1 The Nature and Structure of Higher Education Organizational Form

How do we define higher education? Some would describe it as simply the part of the educational system that follows on from the primary and

secondary stages of education. Barnett (1990), however, considers higher education not only as an educational sub-system that has the task to transmit knowledge, but also as having the task of 'legitimizing society's cognitive structures' (pp. 8). He defines twelve values of higher education (pp. 8-9): the pursuit of truth and objective knowledge; research; liberal education; institutional autonomy; academic freedom; a neutral and open forum for debate; rationality; the development of a student's critical abilities; the development of a student's autonomy; the formation of a student's character to provide a critical center within society; and the preservation of society's intellectual culture. He also defines four key concepts of higher education: culture, rationality, research and academic freedom. Defined in such a way, higher education becomes a challenge for those entrusted with its organization and management. This leads to a number of questions: Are there basic and enduring features of higher education organizational form? Are there fundamental characteristics of higher education institutions? Or has higher education been relative to the time and place in which it exists? In order to address these questions, this work will now turn to some of the theoretical traditions that have helped shape prior analyses of higher education, particularly the university as an organization and institution.

The academic debate about the ways universities fulfill their role started in the 1930s (Flexner, 1930; Kneller, 1955) and has continued to date. A literature review reveals that the topic of how universities combine (or not) their teaching and research seems to be a recurrent topic in the majority of writings on universities. Related to this topic is the question of how efficient universities are in managing their own affairs. Early writings suggest that, despite the many controversial debates about the university as an organization, it has been a successful institution (Ben-David & Zloczower, 1962). Similarly, with reference to the universities in the US, Birnbaum (1988: 3) suggested rather provocatively that "colleges and universities are poorly run but highly effective". It has also been noted that universities as organizations are unique – meaning they are essentially different from all other organization types (Millett, 1962). Some authors are in favor of treating university organization as a specific feature of higher education universe. Here, the first distinctive characteristic of university organization is considered to be its governance structure and the distribution of authority (Gornitzka & Maassen, 2000a).

Traditionally, the primary source of authority in higher education institutions is considered to be professional academic expertise, so that universities and colleges can be understood as organizations marked by professional autonomy (Mintzberg, 1993). This also implies that in higher education many decisions are made by professional academic experts. In a 'bottom-heavy' type of organization, power is diffused and collective leadership at

the central organizational level is weak. As a consequence, there is a high degree of structural differentiation (Goedegebuure *et al.* 1993), and a low degree of functional dependence among departments.

Millett (1962) has argued that ‘community of power’ is the organizational basis of American colleges and universities – this community is able to regulate itself and coordinate actions without any need for hierarchical authority. He suggests that a university has goals and objectives that bind the university community together:

The concept of community presupposes an organization in which functions are differentiated and in which specializations must be brought together in a harmonious whole. But this process of bringing together, of coordination if you will, is achieved not through a structure of superordination of persons and groups but through a dynamic of consensus.

(Millett, 1962: 235)

Similarly, Kerr (1964) considered university organization as an organic community – a multiversity, in which schools and colleges are bound together by a common goal or goals and where “many parts can be added and subtracted with little effect on the whole or even little notice taken or any blood spilled” (pp. 20). The two models - Millett’s and Kerr’s – implicitly carry implications for administrative and coordination problems within the university organization. At the individual level, Clark (1977: 158) described university organization in terms of a guild, the essence of which lies in “a combination of autocratic and collegial control; it is an organizational form that combines personal rulership with collegiate rulership.”

While the collegial model focuses on consensus in a university’s decision-making process, its critique gave birth to the political model (Baldrige, 1971), which is based on an assumption that conflicts and bargaining between the faculties and disciplines should be accounted for in the decision-making processes within universities. Pfeffer and Salancik (1974) used this model when describing budget allocation decisions in the context of scarcity of resources. Their findings show that faculties dependent on external support are likely to be successful in the internal negotiation processes.

In the 1970s, political models were criticized for being built on an idealistic vision of university organization. For example, the notion of faculties as rational actors struggling for influence by mobilizing external resources and maximizing their individual interests was challenged by notions of ‘organized anarchy’ (Cohen, March & Olsen 1972; Olsen, 1976) and of a ‘loosely coupled system’ (Weick, 1976). These concepts aimed at a more

appropriate description of a university organization. The idea of ‘organized anarchy’ encompasses three general characteristics: the intentions of organizational action are unrealistic, since inconsistent and ill-defined goals and preferences prevail; organizational members do not understand organizational processes and technology clearly; and there is a fluid and part-time participation (Cohen & March, 1986). Similarly, Weick (1976) described several characteristics of loosely coupled systems: a lack of coordination and regulation; weak linkage between the administrative and academic staff; incongruent structures and activities; different aims and missions among departments; a small degree of interdependence among departments; infrequent inspections; and a lack of transparency of what is happening.

In addition to these challenges in settling the issue of university organization, scholars faced new challenges: to explain organizational change in higher education institutions challenged by trends such as globalization, internationalization, massification and the marketing of higher education. The feature of higher education as a self-guiding society was considered important when examining the response and adaptation of higher education institutions to their respective increasingly complex and turbulent environments, especially in times when the environment that hosts higher education institutions has become increasingly complex, competitive and turbulent. Barnett (2000) describes this environment as a ‘supercomplex world’:

We now live in a world subject to infinite interpretability. It is this world for which universities are having to prepare their students; and it is this world in which research is conducted. On the one hand, as individuals, whether as members of organizations in the workplace or whether as citizens in making choices in the public domain, we are besieged by multiple interpretations of our actions and, *pari passu*, the knowledge frames that we bring to bear with those actions. On the other hand, research is not a plastic activity, conducted in many different sites beyond the university and taking a multitude of differing forms. At the same time, the products of research are themselves subject to rival commentaries from various quarters.

(Barnett, 2000: 6)

Thus, it is considered that change is present on a daily basis, due to a ‘supercomplex’ environment – however, the question remains as to what extent change is fundamental to challenge the very idea of university? The subsequent sections offer an overview of trends and their impact on higher education institutions.

2.1.2 Public Sector Reforms

National reforms of higher education and the kind of impact they have at the institutional level has been addressed in sociological and political science literature. In particular, research seems to have been preoccupied with the university-government relationship, since this relationship has been altered substantially, and in some cases fundamentally transformed, during recent years. Clark (1983: 205-206) draws our attention to three primary authority levels in higher education: understructure (i.e. basic academic or disciplinary units), the middle or enterprise structure (i.e. individual organizations in their entirety), and the superstructure (i.e. government and other regulatory mechanisms that relate organizations to one another). With regard to the superstructure level, national systems differ substantially in the ways they have organized the governance of higher education institutions. In practice, two broad and distinctive pressures can be identified: the European Continental⁵ model and the Anglo-Saxon model. The former is characterized by governments increasingly stepping back from direct control of higher education institutions, resulting in strengthened institutional autonomy; the latter is characterized by governments introducing various quality control and accountability mechanisms to better define educational outputs (Meek, 2003). This in turn can be seen as a loss of some institutional autonomy. However, governments in Europe have also been highly interested in issues of accountability, especially quality assurance (Meek, 2003: 3). What implications does university self-regulation have for higher education institutions?

In his comparative study of six countries⁶, Teichler (1998) analyzed links between massification and reduced governmental control. He found several possible links and some sub-trends, such as strengthening university management, and privatizing some of the costs of higher education in the six countries. With reference to Norwegian higher education, Bleiklie *et al.* (2000) investigated the impact of the New Public Management (NPM) ideology on the universities' governance structures, with a special focus on organizational sub-units. Their findings show that university Boards and department chairs were strengthened in their roles, whereas representative bodies were weakened. The Swedish 1993 reform revealed similar tendencies (Bauer *et al.* 1999): whereby reforms leading to the redistribution of responsibilities between institutional levels had the unintended consequence of strengthening the Deans' positions. As a result, the Rectors established interfaculty bodies and directly involved the department chairs. In the case of the Netherlands higher education, De Boer and Huisman

⁵ Empirical evidence seen as collected mainly in the former 'Western' European countries

⁶ the US, Japan, Germany, Switzerland, Singapore and China

(1999) identified three phases of development concerning the university's governance system: 1) 'representative leadership', with most of the power residing in university councils in the 1970s; 2) 'mixed leadership', with representative councils and executive boards holding the power from the mid 1980s to the mid 1990s; and 3) 'executive leadership', introduced by the new Law in 1997, whereby leadership at both central and faculty levels was strengthened and representative councils became advisory bodies.

Some general conclusions from this field of research point towards the strengthening of academic leadership at the expense of the representative bodies. Many reforms seem to have resulted in reinforced authority at the university level. There is also a strong emphasis in the literature on the impact of national reforms on intra-organizational dynamics, with a main focus on the notion of academic leadership in reference to Rectors, Deans, department chairs, and administrative chiefs. This approach, however, has provided a limited attention to intra-group and individual relations and processes.

2.1.3 Marketization and Corporatization

Some would argue that a shift from state steering to market control of higher education resulted in the corporatization of higher education institutions. The bottom line of this approach is the question of higher education as a public or private good. As Kirp (2003) suggested, there is a great deal at stake when market values meet those of the 'commons', which shaped the 'soul' of the nineteenth-century university. The reason is simple: "maintaining communities of scholars is not a concern of the market" (Kirp, 2003: 261). Market drivers that contribute to the corporatization shift are interrelated and not limited to: technological advances, a shift from welfare to competitive state, government seen as service purchaser rather than service provider, as well as state seen as a manager of scarce resources not a manager of public values. In addition, international organizations, such as the World Bank, the International Monetary Fund, and the World Trade Organization, are seen as imposing markets on the higher education sector. Massy suggested how these factors may influence higher education institutions:

Massification and large scale research funding changed higher education from a small and elite enterprise, where academic autonomy could be defended as an end in itself, to a key participant in the economic mainstream for which autonomy is a means to an end.

(Massy, 2004: 17)

In addition, in their comparative study of eight European countries⁷, Gornitzka & Maassen (2000b) analyzed the changed relationship between the state and higher education with regard to the four state steering models (rationality-bounded, institutional, corporate-pluralist, and supermarket). They typified a general trend as a combination of market and state. According to the authors, in contracts with higher education institutions, some governments place more emphasis on the quality of teaching and research being guaranteed, while others focus more on financial contracts. Thus the pure 'supermarket' model can not be observed empirically (Gornitzka & Maassen, 2000b). Outside the European context, Meek and Hayden (2005) suggested that a governmental neoliberal approach may lead to an extreme market-oriented and utilitarian system, which in turn will prevent Australian public universities being valued for their contribution to the public good.

As a consequence of marketization, higher education institutions tend to score highly on corporatization scale. Gould (2003) defines characteristics of corporatized higher education institutions: management and productivity development systems, budget controls, marketing strategies, the redistribution of labor, the development of research and ancillary enterprises, and customer service orientation. While advantages of corporatization in higher education may be more immediate and apparent, there are also disadvantages that may be longer term and less direct, for example, losing key subject areas from the curricula, erosion of equity and access, and loss of control over research results.

2.1.4 Managerialist Revolution

Probably the most obvious area where external forces have transformed the internal dynamics and function of higher education is the issue of management. Over years a widely accepted myth has developed that academics are able to manage their own affairs. In the 1980s, this model of the university's collegial organization and governance faced requests for more efficiency and profitability, which put pressure on long-lasting academic values, such as academic freedom and scientific excellence. As Barnett (2000: 128) suggested, universities that historically were viewed as associations or guilds have now become "organizations, attempting to manage their resources, both budgetary and staffing", where "roles are more precise, responsibilities are more explicit and relationships are clearer". This had led to three main consequences for the majority of higher education systems and institutions: a) an increased but more conditional institutional

⁷ Austria, England, Finland, Flanders, Italy, the Netherlands, Norway, and Portugal

autonomy; b) a tension between academics and administrators; and c) the strengthening of institutional leadership.

Although the terms of governance and management are often used interchangeably⁸, there are important distinctions among them. As Middlehurst put it:

In simplistic terms, leadership and governance are concerned with overall direction and strategy within a framework determined by regulatory requirements on the one hand and purpose, values, culture, history and mission on the other. Management and administration involve processes of implementation, control and coordination with particular emphasis on resource frameworks and structures: human (individuals and groups), physical and technological infrastructures, finance, materials and time.

(Middlehurst, 1999: 311-312)

Empirical evidence for the impact of managerialism within European higher education varies in different national settings. Amaral *et al.* (2003) did not find empirical evidence for the emergence of managerialism in Portuguese higher education, and De Boer (2003) claims that, in the case of France, many of his respondents perceived collegiality as the main feature of management structure in French universities suggesting that process of managerialism has either not started or is only slightly perceived. In the Norwegian context, De Boer (2003) found traces of both collegiality and managerialism. In the UK, managerialism has emerged in the strongest form (Fulton, 2003). In addition, both Dutch and Finnish cases are examples of successful implementation of managerial reforms (De Boer, 2003; Salminen, 2003). Of non-European countries, Australia is the one in which managerialism has made the most impact (Meek, 2002).

While investigating organizational change in higher education, Gumpert (2000) found that public higher education increasingly uses market discourse and managerial approaches to restructuring. This is all done in the name of legitimacy. However, she warns that gaining legitimacy on the one side, may lead to losing it on the other – i.e. legitimacy derived from historical character, functions, and accumulated heritage as educational institutions. Similarly, Meek (2002) observed that, since there was a substantial shift towards corporate models of management in Australian higher education, a

⁸ As it will be shown throughout the study, both types of processes identified by Middlehurst (1999) are present in the empirical data. While acknowledging this distinction between notions of leadership and management, this study will refer to them without further clarifications among the two, since such distinction is not a main focus of this study.

tension between the managerial and collegial approaches to running the university was created. He suggested that such tensions may undermine commitment to intended corporate planning processes within the university. Moreover, Teichler (1998) found that massification trends in higher education had caused internal administrative change in at least two ways: models of change management had been borrowed from private enterprises, and academic staff and tenure came under attack by the application of performance-oriented measures. In addition, Birnbaum (2000) suggested that advocates of 'management fads' in higher education view academic organizations in a rational organizational paradigm, emphasizing the importance of goals, rationality, and causality. In his study of the lifecycle of academic management fads, Birnbaum (2000) found that management fads in the higher education continue to be created, even though there is no evidence that they are successful.

As a result, there have been many voices raised against increasing managerialism in higher education. Criticism mainly concerns simplistic managerial approaches and the introduction of management approach into the higher education. Instead, attention is drawn to two particular issues that management and leadership of university have to take into account. The first is that a university is an institution with its own history and values:

At heart, managing the learning university is irritating; it is so simple in concept, yet so elusive in execution. It requires a belief in the university, as an *institution* and not just an *industrial organization*, now within a complex diverse higher education *system*; and a sense of history and value stretching back at least nine centuries with Bologna.

(Duke, 2002: 154)

The second is related to the changing environment. Barnet (2000) emphasized main roles of management and leadership of a university in the age of supercomplexity as 'leading uncertainty'. He goes on to say that 'leading uncertainty' requires two management strategies (pp. 138): initiating collaborative actions and interdisciplinarity across departments and within cross-university projects; and promoting a collaborative self-learning that transcends the natural boundaries in which academics have their identities.

This argument suggests that academic leadership and management need to protect their organizations against management fads that could jeopardize long lasting scholarly values, which can be done by advancing interdisciplinary work. Based on this, the question remains about what kind of impact such trends have had, or still have, on higher education institutions. If university organization is considered as 'anarchy' and its

environment as ‘supercomplex’, than it is natural to consider what the result of a clash between the two might be: a new university species or a hybrid organization?

2.1.5 The Hybrid University: Emergence of new organizational form?

It seems that a central question in the field of higher education research remains how we should treat the university as an entity: as a distinctive institution with core authority structures that has survived over centuries, or as any other modern organization (Reed, Meek & Jones, 2002: xxvi)? With a shift of institutional governance of higher education from collegial to managerial, there have been claims about the development of a new type of university organization. It has been called, among others, the entrepreneurial university (Clark, 2003), the enterprise university (Marginson & Considine, 2000), the service university (Tjeldvoll, 1997), the hybrid university (Mouwen, 2000), the changing university (Schuller, 1995), and the learning university (Duke, 2002). Barnett, however, is cautious in this matter:

We name a number of institutions ‘University’ but in their fundamental aspects – of knowing and being – it is doubtful that they have much in common. Instead, universities are sites of entrepreneurialism (Clark, 1998). What it is to know and to be in the late-modern university is a matter of the creative exploitation and imagining of opportunities: the only guideline is that the new initiatives should *work*.

(Barnett, 2000: 99).

In addition, Barnett (2003) warns against the university becoming an ideological institution in an age of ‘supercomplexity’. His main concern is that ideologies such as competition, entrepreneurialism, quality, managerialism, research and idea of the academic community, may limit the university’s search for *reason*, which used to be its fundamental task and the reason for its establishment. Indeed, universities are encouraged to become more entrepreneurial, but also to maintain their characteristics of collegiality and anarchy. As a result, the organization will move slowly, since this process of organizational change depends on five internal elements (Clark, 2003): the strengthening core, the enhanced development periphery, the stimulated heartland, the discretionary funding base, and the entrepreneurial belief.

Some scholars see the university as moving towards becoming a corporate enterprise, where the challenges facing it are “broadly similar to those of a range of public service agencies in the late twentieth century” (Askling and Henkel, 2000:113). Others are not quite convinced in what direction these

‘new’ movements in the university’s organization and governance are heading:

While much of the current writing on higher education assumes a movement away from traditional models of governance (themselves varied and complex), the direction of this movement is far from clear and varies considerably in both content and intensity from country to country and over time.

(Reed *et al.*, 2002: xxvii)

This is supported by empirical research that points to the resilience of higher education institutions and questions whether present changes tend to be the codifications of existing practices (De Boer, Goedegebuure and Meek, 1998).

Tierney (2004) has argued that, in the 21st century, culturally held beliefs among organizational members will improve governance and institutional performance. He prioritizes these beliefs in comparison to structures and instrumental actions. Kennedy (2003) offers an even broader approach to the issue of higher education governance in the 21st century. He argues for the concept of a ‘deliberative partnership’ – decision making structures that would allow the academic guild, the new managers and governing bodies to work as partners committed to communication, debate and public interest. This concept of ‘deliberative partnership’ (Kennedy, 2003) is also related to what Scott (1995) has termed as the ‘core’ and the ‘distributed’ university of the future. The ‘core’ university is, according to the author, equivalent to the traditional university, implying that it consists of activities determined by the university’s traditional mission. The ‘distributed’ university, on the other hand, is mainly preoccupied with the role of higher education in the domains of life-long education, distance learning, and industrial collaboration. Institutions of higher education are not expected to be split on the basis of these two elements, core and distributed, but rather are expected to encompass them both. This would in turn imply an increased significance for governing bodies, whose key roles should include: being “gate-keepers policing the flow between core and distributed activities”; acting as “both-ways interpreters between the university and its stakeholders”; and being “guardians of institutional integrity” (Bargh, Scott & Smith, 1996: 178). These three functions, according to the authors, cannot be performed merely by senior management or by an academic guild, implying that governance of higher education institutions will become centralized in the 21st century university. Here, the three key changes are discerned (Bargh *et al.* 1996: 179): a) governing bodies should be more representative of both their civic and commercial stakeholders; b) university governance’s democracy deficit must be addressed by, for instance, requiring vacancies for independent members’ on governing bodies to be publicly advertised; and c) the principle

of open government should be applied. Finally, with reference to the hybrid university model, Mouwen (2000) has suggested that the expansion of core university activities results in an equilibrium whereby task and market activities are harmonized. In this way, a synergy between the two types of activities can be achieved, without the conflict between the traditional university culture and new market culture. According to Mouwen (2000), such a hybrid university will be the dominant concept for the universities of the 21st century.

This would suggest that the meaning of hybrid in the context of higher education can be understood in two ways: a) as the emergence of an entirely new 'species' of organization, and b) as adding new functions to traditional university forms. Demand overload faced by today's institutions of higher learning range from massification to knowledge that outruns resources. As a result, there is a need for a deeper investigation of the notions of management, steering, accountability and possibilities of introducing these new terms to the world of higher education.

The empirical evidence cited above is mainly focused on higher education institutions in, what used to be referred to as 'Western' Europe, as well as in Anglo-Saxon countries. However, there are other regions that have their own peculiarities with regard to the management of institutions of higher education. One such region is that of Central and Eastern Europe, which has not only been challenged to change through global developments, but also as a result of fall of the communist and socialist regimes in the last decade of the twentieth century.

2.1.6 Peculiarities of the Post-Socialist's Higher Education

The reform and change of the higher education systems of the Central and Eastern Europe has not been a simple and short reorganization of existing processes and structures, but rather a complex and comprehensive endeavor involving the "re-thinking of the normative orientations of higher education just as much as their new positioning within the societal system and their structural and functional reformation" (Leitner, 1998: 6-7). In this regard, Scott (2002) emphasizes two frames of reference needed for the understanding of the post-communist, post-socialist higher education reforms that took place in the region after 1989. First, there is heterogeneity of the higher education systems across countries, although they were exposed to communist rules. Second, higher education institutions engaged in transition processes, instead of transformation, in the post-communist period. Here Scott claims that the post-1989 reforms were largely organizational and that scientific foundations remained almost intact. In the

following he summarized some of the main changes, their triggers and consequences that occurred:

In some Central and Eastern European countries, radical restructuring has taken place, even though sometimes as a result of *institutional collapse* rather than on a planned basis. The natural sciences and engineering, which dominated many Central and Eastern European universities between 1945 and 1989, have been displaced by business and management and information technology. ... Any assessment of higher education in Central and Eastern Europe at the beginning of the twenty-first century must incorporate elements of both characterizations, catching up and radical experimentation – but must also avoid the danger of over-emphasizing either. Both characterizations must be related to the wider frames of reference – first, that the idea of Central and Eastern Europe is an artifice, which has been progressively reconstructed during the past decade, and secondly, that the key motif of post-1989 higher education reforms (as of wider socio-economic reforms) has been transition rather than transformation (Hüfner, 1995).

(Scott, 2002: 138, emphasis added)

In his earlier work, Scott (2000) offered a framework for understanding higher education in Central and Eastern Europe. His framework emphasizes spatial dimensions and the relationship between higher education and the knowledge society. Spatial dimensions refer to two issues: country size and old affinities. It would seem that reforms and policy initiatives are more likely to emerge in ‘large’ countries that are considered to be a more creative environment, whereas implementation is easier in ‘small’ countries, due to greater intimacy of political and administrative networks (Scott, 2002). Concerning old affinities, Scott (2002) refers to those being re-established around the Baltic, in the Balkans, and in Central Europe. Finally, Scott (2002) considers that higher education in Central and Eastern Europe still has some constraints (i.e. elitism, excellence and exclusion) that inhibit the full realization of higher education in a knowledge society.

Scott’s (2002) claims for both organizational reforms and the processes of ‘catching up’ in the post-1989 Central and Eastern European higher education are interrelated with the Bologna Declaration⁹ and the creation of

⁹ Ministers of education and university representatives from twenty-nine European countries met in Bologna in June 1999, with the main idea to create a common European Higher Education Area (EHEA) by 2010. This idea was conceptualized in the Bologna Declaration, a document originally aiming to allow student and staff mobility and fair recognition of their certifications within the European borders (The Bologna Declaration, 1999).

the European Higher Education Area (EHEA). This is plausible, especially in the context of ‘institutional collapse’. Indeed, with reference to nine case studies of universities in South East Europe¹⁰, Miclea (2003) confirmed the common wisdom that, besides being a political statement, the Bologna Declaration offered a valuable reform blueprint and represented a binding commitment to a plan of action for higher education institutions in the region. The overview of the nine case studies particularly emphasized the role of higher education institutions in the post-communist period:

The main players in curricular reform are the institutions of higher education. After many decades under the strict control of socialist governments, the universities of South East Europe now have the unique chance to prove their willingness to shape the future of higher education in the region and in Europe.

(Miclea, 2003: 271)

Miclea (2003) considered South and Eastern European higher education institutions as playing a paramount role in shaping their own future. In promoting change, the empirical data also emphasized additional measures, such as launching new programs, introducing joint degrees, organizing summer schools, and taking advantage of opportunities offered by European programs (Miclea, 2003).

These and similar studies and reports indicate the magnitude of pressures that higher education institutions in post-socialist societies have been exposed to, in order to harmonize with the rest of European universities. There are two main consequences of the trend of ‘harmonization’ within the European higher education: one is related to the academic community and research in this field, which is preoccupied with documenting a variety of trends and their impact on higher education institutions in the Central and Eastern European region; the other is related to various international and regional agencies and organizations dealing with the issues of harmonization within the EHEA – as a result, a whole ‘industry’ has developed to compare and measure the achievements of various countries and their institutions against the objectives set by the Bologna Declaration. Thus, the extent to which post-socialist higher education is examined is the extent to which it has been transformed in responding to Bologna Declaration objectives. What is missing, however, is a closer insight into the daily, ongoing processes of organizational change in these institutions.

¹⁰ Very often South and Eastern European countries are considered as a subset of Central and Eastern European countries. The same approach is applied in this study.

2.1.7 Unanswered questions and potential research issues in the Higher Education research field

A literature review reveals that university organization has been exposed to serious criticism and requests for more efficiency and accountability. And there is little doubt that the types of activities required from universities are more corporate in nature, more externally oriented, less dependent on governmental funding, more reliant on private sources of income and global in outlook. However, these types of activities do not necessarily transform traditional universities. A specific feature of a university's governance and management control structures forces the institution to respond to public policy and external stakeholders. However, successful universities tend partly to be 'organized anarchies' (Cohen *et al.*, 1972) and are thereby influenced, but not determined, by their environments (Olsen, 2005). This becomes particularly important in an increasingly changing and complex context. As a result, the question of organizational change in higher education institutions becomes a focus of the higher education research field.

Some questioned whether coordinated, deliberate change is possible or even likely under conditions of weak decision-making apparatus and a high degree of institutional fragmentation (Gornitzka and Maassen, 2000a). It has also been suggested that factors such as national context influence, type of university organization and academic belief system may be of relevance in considering the deliberate change in higher education. Thus organizational responses have been widely spread among continents and different higher education systems. Clark (1998) argued that a rapidly changing university world pressures individual institutions to become more enterprising. He further stated that "each university's development is itself a complex institutional story, one best told when embedded in contextual peculiarities and unique features of organizational character" (pp. 127). These and similar arguments urge for empirical evidence from different national contexts, but also from different institutions, since organizational change may be born of necessity, which in turn varies greatly in national contexts. As a result, a number of higher education studies have documented differences in organizational responses to the changing environment and have utilized a comparative perspective in order to understand these differences (Amaral *et al.*, 2003; Kogan *et al.*, 2000; Leitner, 1998; Teichler, 1998). In fact the comparative approach has been particularly useful in documenting and analyzing differences in national systems of higher education, in revealing differences in experiences with global trends and the pace of change in various national contexts, as well as demonstrating the meaning of higher education in various contexts (Meek, 2003).

However, can we increase our explanatory power by offering some complementary explanations to the comparative perspective? How do we explain differences in organizational responses to the changing environment between and within countries and institutions? What about ongoing micro change processes present on a daily basis in universities? With the exception of a few studies at the individual level of analysis (see Curie *et al.*, 2003; De Boer, 2003), there has been limited empirical evidence concerning micro processes of change. Therefore, the present study aims at examination of the micro processes of change. In order to achieve this aim, it has been important to identify the context in which micro level processes have been of particular importance for organizational change in higher education.

It is assumed that examining higher education systems during ‘institutional collapse’ (Scott, 2002) would offer better insight in the micro level change processes. As already mentioned, with reference to the organizational change in post-socialist higher education, Scott (2002) emphasized three peculiarities: a) it is a radical change taking place at a time of general institutional collapse; b) pressures for change as summarized as a push to ‘catch up’ with the rest of the Europe in particular, and the world in general; and c) it is a transition, not transformation, process. What Scott (2002) has termed ‘institutional collapse’, other scholars have defined as ‘institutional upheaval’ (Newman, 2000), ‘societal transience’ (Clark & Soulsby, 1998), ‘institutional transition’ (Peng, 2003) or ‘breakdown of the old and problematic emergence of the new order’ (Elster, Offe & Preuss, 1998). These terminologies are developed and defined with a specific focus on the post-socialist period in the countries of Central and Eastern Europe in the last decade of the twentieth century. As a result, it is expected that micro processes may be of particular importance in a context where radical changes are taking place in a weak or recovering institutional environment. In addition, it is taken that the time-frame of the study is optimal, since such change would not be observable for a longer time periods. The subsequent section attempts to provide an insight into existing knowledge and evidence about the organizational change during institutional upheaval, as well as about how such change is managed.

2.2 What do we know about organizational change and its management during institutional upheaval?

Managing organizational change is well explored topic in the literature. However, there are two main features of this body of literature. First, the empirical focus of most studies has been the management of organizational change in the context of business systems in the Anglo-Saxon model (Tsoukas & Papoulias, 2005). Second, organizational change is explored under conditions of a stable institutional context in secure and established

states (Newman & Nollen, 1998). Recently, some studies have addressed a gap in literature by exploring management of radical change in the non-stable environments (e.g. Chiaburu & Chiaburu, 2003; Clark & Soulsby, 1998; Newman & Nollen, 1998; Newman, 2000). These studies are relevant for the emerging or state-dominated economies pursuing a path of economic and political liberalization (Tsoukas & Papoulias, 2005), or for post-communist countries where the institutional context was completely erased and re-established (Elster *et al.* 1998). As a result, organizational research in former state-owned enterprises (SOEs) in post-socialist Europe has been challenging the conventional wisdom of organization theory, especially its notion of evolution, transformation and punctuated equilibrium model (Soulsby & Clark, 2007). Some empirical findings from this part of organizational research are still fragmented, due to rather chaotic and specific environmental pressures prevailing in different post-socialist countries.

Socialist socio-economic systems were conceptualized as highly institutionalized environments, and socialist enterprises as being characterized by the structural and political-ideological dependence on these systems (Tsoukas, 1994). In addition, the management of these enterprises was mainly ceremonial management, whereby the notion of ceremonial management implied 'keeping up appearances' and going through 'right emotions' (Tsoukas, 1994). Concerning the kind of change observed in the post-socialist period, empirical evidence suggests that processes of both path-dependence and change co-existed.

For instance, by studying the management of radical organizational change during institutional upheaval, Newman (2000) found that context played a primary role in inhibiting the second-order learning in the organization. This was indicated in three ways (pp. 607): first, it inhibits adaptive search because it diminishes or eliminates the relevance of existing resources and capabilities as sources of competitive advantage; second, it diminishes or eliminates the relevance of existing organizational templates; third, it creates more ambiguous cause-effect relationships, thus making it difficult for firms to learn from experience.

In addition, Dixon *et al.* (2007), who examined the development of organizational capabilities in the post-socialist Russian oil industry by using theoretical constructs of exploitation and exploration learning to understand how changing top management style influenced organizational learning. Dixon *et al.* (2007) found that exploitation and exploration learning are sequential in the initial stage of transformation. In the beginning, there is a need for an authoritarian management style in order to break with administrative heritage, whereas at the second stage there is a need for a

more participatory style, promoting experimentation (Dixon *et al.*, 2007). Therefore, their findings support Newman's (2000) claims that the second-order learning does not take place in the initial stage of transformation. However, Dixon *et al.* (2007) claim that exploration learning will take place later, leading to a process that resembles the second-order learning.

In another study from the Russian context, Schwartz and McCann (2007) documented a study of 70 enterprises in 10 Russian cities. The authors examined changes in strategy, management structures and work organization for a period of six years, from 2000 to 2006. The enterprises differed in their size, industry, ownership and management structures, whereas the cities differed in their policy environments. Based on 600 semi-structured interviews, their data indicated a combination of change and continuity with regard to strategy, management structures and work organization. More specifically, change and continuity were indicated to the extent that findings identified path-dependency in relation to rebuilding organizations and institutions in post-socialism. In addition, Schwartz and McCann (2007) identified substantial changes to the ownership and strategies of many firms, limited changes to management structures and control systems, and very few changes to work organization.

Taplin and Frege (1999) studied the complex consequences organizations were facing during the emergence of market-oriented economies in the Central and Eastern Europe. With data from two clothing manufacturing firms in Hungary, the authors applied a case study methodology in order to examine interplay between institutional constraints and the management decision-making process. More specifically, they examined how managers were reshaping production in order to meet market demands. One of their findings indicated that firms adhering to already established internal practices, which are consistent with external forces stemming from market uncertainty, will lead to better performance compared to the firms that try to impose 'western' techniques of management. On a broader level, these findings could be interpreted as path dependence in relation to organizational level practice and experience.

Similarly, with reference to enterprise restructuring in the Czech Republic, Clark (2004) studied the role of management agency in strategic decisions. In theorizing the strategic management process, he documented sense-making and strategic choice as taking place in four enterprises. Findings indicate that post-communist strategic managers utilized certain strategies to enhance enterprises' survival. These strategies involved monitoring the environment, as well as identifying restructuring options by applying a variety of various rationalities and values to interpret the environment, such as: business, social, personal and professional. Some managers made 'wild'

choices by ignoring, resisting or deviating from rational-economic interpretations of the environment, and used their power to promote their decisions among internal and external stakeholders. Overall, Clark (2004) sees the strategic management process as a socio-political sense-making that underscores the management of meaning as a contested process of power, resistance and conflict.

In addition, Chiaburu and Chiaburu's (2003) study of educational organizations' responses to changes in transition environments falls into a group of studies that identified the importance of path dependence, change and strategy in such environments. Their findings are summarized in four propositions, based on two dimensions – organizational capacity for change and 'embeddedness' in the old system. These findings suggest that educational organizations will choose between four types of strategies for institutional influence in transition environments: isomorphism (high embeddedness/ low organizational capacity), ceremonial adoption/decoupling (high embeddedness/high organizational capacity), efficient operation/tight coupling (low embeddedness/high organizational capacity), and efficient imitation (low embeddedness/low organizational capacity).

The above mentioned organizational research in the post-socialist period of institutional upheaval revealed that this part of the literature has been mainly preoccupied with the for-profit organizations. Organizational change has been studied either by applying some traditional approaches (e.g. institutional theory), theories of organizational and management learning, theories of strategic management and choice, and sense-making, to name a few. The subsequent section will position the present study by addressing a substantive area of the higher education research field and theoretical universe of the organizational change in non-stable environments. It is assumed that an inquiry into organizational change in higher education institutions subjected to institutional upheaval will be beneficial to both the field of higher education research and to the field of organizational research.

2.3 Summary: Research Inquiry

The present research inquiry addresses two bodies of literature. First, past research has indicated that governmental policies and external influences have an effect on organizational change within higher education institutions (Goedegebuure *et al.* 1994), as well as that the substance of each institution's response may be significantly different both within and between countries (Amaral *et al.* 2003). However, seemingly similar organizations develop different strategic actions leading to different internal adaptations (Gornitzka & Maassen, 2000a). That said, research has had difficulty in

explaining differences in institutional responses, possibly due to the fact that many past efforts analyzed either higher education institutions in single countries, or have not paid attention to details such as the role of individual actors within universities (exceptions are Curie *et al.* 2003 and De Boer, 2003). The present study, therefore, attempts to halt this gap in the literature and to examine the role of individual and collective action in the organizations of higher learning. In this way, attention is paid to ongoing micro processes of change in higher education institutions challenged to change.

Second, scholars strongly argued that the change management literature has been mainly preoccupied with change in the Anglo Saxon business systems. Evidence from other contexts was rather scarce, although it has been claimed in, for instance, organizational economics research that developments since the 1990s in Central and Eastern Europe have provided ‘unique societal quasi-experiments’ and opportunities to test the applicability of existing theories and to develop the new ones (Meyer & Peng, 2005). This applicability of existing theories is evaluated by extending organization theory “beyond boundaries defined by the rationality of western practice and research” (Soulsby & Clark, 2007: 1423). As a result, “the post-socialist context itself and organizations embedded in it are examples of ‘polar cases’, in that they have historical, structural and cultural characteristics that are very different from those that have been the normal contexts and objects of organization theory” (Soulsby & Clark, 2007: 1423). Organizational scholars that were mainly preoccupied in challenging the conventional wisdom of ‘western’ organization theory utilized traditional approaches to organizational change, or theories of organizational learning, strategic management and sense-making. These scholars also focused on investigating organizational issues in for-profit SOEs. This study attempts to shed light on change management in a specific context – public sector organization in the context of institutional upheaval. By investigating a public sector organization within the context of institutional upheaval is expected to provide further insights into the change management process in general, as well as into the mechanisms underpinning change and role of the exceptional individuals in initiating changes.

3. Organizational Change: Perspectives and Factors

Research and theorizing on organizational change in general, and in higher education in particular, have adopted one (or more) of three organizational theoretical perspectives: institutional theory, resource dependence theory and political perspective. This chapter begins with a brief overview of what each of these dominant perspectives suggests about organizational design and change. By proposing that the three theoretical perspectives alone offer a rather incomplete view of organizational change in the context of institutional upheaval, a fourth perspective is introduced – that of sense-making. It is assumed that balancing these four perspectives will offer a better understanding of organizational change during institutional upheaval.

Next, three sets of factors are presented that might help understand the organizational change process in institutional upheaval. By viewing change as a strategic endeavor, the factors are selected partly from the organizational research on transformation of formerly state-owned enterprises (SOEs) in post-socialist environment and partly by examining the peculiarities of the academic organizations and features of the environment that hosts them. Throughout the chapter, educational organizations are used when exemplifying theoretical concepts.

3.1 Perspectives on Organizational Change

Classical organizational literature treated a single organization as a unit of analysis in order to understand the process of organizational adaptation to the external environment. Indeed, technology (Woodward, 1965), environment (Lawrence & Lorsch, 1969), and organizational size (Blau, 1970) have been treated as causes of organizational structure. This focus on the unit of analysis has since shifted, with contemporary attempts to explore the social and cultural foundations of institutions. In the 1980s, for example, the focus was on how powerful organization members perceive size, technology and environment and then translate them into structure decisions (Daft & Weick, 1984; Ranson, Hinings & Greenwood, 1980). Such views emphasized reciprocity of relationship between organizations and their environments, a topic that has been earlier outlined by Cyert and March (1963) – i.e. firms adapt to their environment while at the same time they seek to influence it. Organizational environments, however, vary in their complexity of power arrangements and resources (Pfeffer & Salancik, 1978), and in the configuration of their wider structures and legitimating rules (DiMaggio & Powell, 1983; Meyer & Rowan, 1977).

This section presents some traditional perspectives on organizational change for three reasons. First, traditional perspectives were utilized in explaining organizational change in higher education institutions. Second, they have been used to explain organizational change in the case of institutional upheaval (Newman & Nollen, 1998), and when occurring in transition economies (Chiaburu & Chiaburu, 2003). Third, models of organizational change presented later in this chapter (see section 3.2) build on the underlying assumptions of some of the traditional perspectives.

3.1.1 Institutional Perspective

Debate on institutional theory mainly begins with making the distinction between the ‘old’ and ‘new’ institutionalist approach. The pioneer work of Selznick (1949, 1957) established the ‘old’ institutionalist approach, where the unit of analysis was a single organization. Some of the main issues investigated were values, organization-environment interaction, coalitions, influence, power and informal structures (Greenwood & Hinings, 1996). The second group or so called ‘new’ institutionalists focus more on, for instance, organizational fields and their embeddedness, as well as issues of legitimacy, routines, scripts, and schema (Greenwood & Hinings, 1996). Scott and Meyer (1992: 140) used the term institutional sectors as meaning those “characterized by the elaboration of rules and requirements to which individual organizations must conform if they are to receive support and legitimacy from the environment”. With reference to industrial sectors, Erakovic and Powell (2006) emphasize similarities between them and the concepts of ‘institutional sectors’ (Scott & Meyer, 1992) and the ‘organizational field’ (DiMaggio & Powell, 1983). Also, according to these authors, industrial sectors present an, “institutionally specific environment that provides resources, legitimacy and organizational networks” (pp. 35).

Higher education is seen as placed in a highly institutionalized environment, implying that an organization’s behavior is governed by rules that are not necessarily generated by the organization itself but rather by those existing in the wider societal system. Institutional constituents that exercise pressures and expectations, according to Oliver (1991), include not only institutions, such as the state, professions, laws, and courts, but also interest groups and public opinion. This approach suggests that organizations draw from abstract ideals in society and that, in turn, an institutional environment supports and exerts normative pressures on an organization to perform in a legitimate fashion.

DiMaggio and Powell (1983) suggested that legitimacy has a central role in institutional theory. It is defined as a force that constrains change and pressures organizations to act alike, or to imitate others. This is captured by

the concept of isomorphism. Consequently, the institutional environment presents normative forces that pressure organizations to conform in certain ways in order to maintain their legitimacy. The emphasis, therefore, is on imitating the behavior of other similar, successful organizations. As a result, organizations that become more homogeneous are considered to be legitimate. Imitation can be seen in three ways (DiMaggio & Powell, 1983): a) as coercive caused by pressure from politics or public agencies; b) as normative stemming from professional influences; and c) as mimetic due to uncertainties in the environment. Coercive pressures are able to regulate structural developments within organizations and are usually imposed by the authority of the state or parent organizations (Scott 1994). Normative pressures do not influence structural arrangements, but require organizations to conform to institutionalized norms and values in order to gain legitimacy. The third type of institutional influence is an imitation of structural arrangements. The existence of institutionally successful models of organizational systems and procedures encourages decision makers to mimic these systems in order to increase efficiency.

Imitation also paves the way for a decoupled organizational form. Meyer (1992b), for instance, defined an organizational structure as part of the institutional domain. He further argued that the professional and bureaucratic roles directly involved in managing education form the organizational structure. Therefore, educational organizations are seen as “the formal relations of authority that manage education within a broader institutional context of customs, rules, understandings, and taken-for-granted practices” (Meyer 1992b: 235). In educational organizations, “high proportions of administrative or organizational management activity are disconnected with the actual work activities of schools” (i.e. concept of decoupling), but are “closely connected with the political and institutional structures of the environment” (Meyer, 1992a: 183).

Institutional theory has been challenged by a number of authors with regard to issues of change, power and efficiency. It has been argued that the institutionalized things tend to resist change leading to non-frequent and non-routine change, since every change is costly and difficult (Powell, 1991: 197). Traditionally, in the language of new institutionalism, organizational change has been seen as a change towards a greater conformity (DiMaggio & Powell, 1983). This viewpoint of change has been modified through the later developments in this research program. For instance, in addition to having an impact on organizational structure (Meyer, Scott & Deal, 1981; Meyer, Scott & Strang, 1987; Scott, 2003), institutional processes are seen as having an impact on organizational change (Greenwood & Hinings, 1996; Tolbert & Zucker, 1983). Organizational change has been seen as taking place in: a) loosely coupled fields lacking mechanisms for monitoring

compliance leading to an ‘innovative behavior’ (Fligstein, 1991); b) tightly coupled fields with highly articulated mechanisms for transmitting organizational templates to organizations within the sector (Greenwood & Hinings, 1996); c) fields with high permeability, which are more open to variation and change (Greenwood & Hinings, 1996); d) a brief period of crisis or a critical intervention (Powell, 1991), e) during crisis periods within social networks (Rowan, 1982). In addition to these explanations, Greenwood & Hinings (1996) argue that fields may provide not only rationalized prescripts of accepted behavior and structures, but also competing and inconsistent signals leading to various interpretations and variations in practice. Moreover, Fligstein (1991: 317) has seen organizational change as the result of a number of circumstances, such as: a) periods of establishing organizational fields; or b) periods of shocks (i.e. shifts in macroeconomic conditions, actions taken by the state or other organizations) in the stable organizational fields.

Powell (1991: 199-200) discerned four possible ways to explain change that are more or less compatible with the main thrust of an institutional approach: unsuccessful imitation, recombination, incomplete institutionalization and the recomposition of organizational fields. According to Powell (1991), *unsuccessful imitation* suggests that organizations may unintentionally change while imitating other organizations, due to different local circumstances leading to a partial diffusion of intended changes. *Recombination* occurs when organizations in complex environments, with strong institutional and technical pressures, remodel themselves by ‘borrowing’ organizational models from other organizations. *Incomplete institutionalization* may emerge when the impact of external pressures is partial, inconsistent or short-lived (e.g. government can define certain policies without specifying the actual implementation, which will, in turn, lead to weak institutionalized practices). *Recomposition of organizational fields*, featured by a radical change, may occur when the boundaries of established fields are rearranged (Powell, 1991). For example, European integration can be seen as an example of both geographical and political redefinition of a field.

Critics of institutional theory are mainly preoccupied with pointing out its lack of attention to the political processes, and to other non-institutional factors shaping the responses of organizations to pressures from the environment. It is also criticized for a tendency to underestimate the significance of interest and agency (Beckert, 1999), as well as of powerful groups that use their power to enforce institutional compliance (see Covaleski & Dirsmith, 1988). In fact, what seems to have been lacking so far is explicit attention to an organization’s strategic behaviors while responding to the institutional processes (DiMaggio, 1988; Perrow, 1985). However,

Oliver (1991) proposed that action based on institutional theory can inhibit active organizational behavior when organizations' responses to institutional pressures and expectations are not assumed to be passive and unconditionally conforming. In order to emphasize institutionalism's lack of attention to strategic behavior, the resource dependence perspective is revisited in a subsequent section.

3.1.2 Resource dependence Perspective

Some authors have argued that resource dependence theory is a version of contingency perspective (Donaldson, 2001). While most organizational theories are focused on intra-organizational dimensions and efficient use of resources, contingency theories focus on the inter-organizational relations and the ways organizations survive by deploying resources from the environment (Pfeffer & Salancik, 1978). Astley and Van de Ven (1983) have argued that there is a system-action debate between contingency theory, on one hand, and strategic management and resource dependency theory, on the other. While contingency theory assumes that 'context has causal primacy', the other two theories assume management as having the leeway to define the organization's context (Astley & Van de Ven, 1983). Thus environmental determinism is not the only causal mechanism, as emphasized by the contingency perspective. Considered as important is also a way in which organizations act strategically and make active choices to manage their dependency on the environment that controls vital resources (Maassen & Gornitzka, 1999). The two main issues expanded on by resource dependency perspectives are the impact of the environment on an organization and explaining the organization-environment relationship. As Pfeffer and Salancik suggested:

A good deal of organizational behavior, the actions taken by organizations, can be understood only by knowing something about the organization's environment and the problems it creates for obtaining resources. What happens in an organization is not only a function of the organization, its structure, its leadership, its procedures, or its goals. What happens is also a consequence of the environment and the particular contingencies and constraints deriving from that environment.

(Pfeffer & Salancik, 1978: 3)

While explaining the organization-environment relationship, Pfeffer and Salancik (1978) discerned three concepts: effectiveness, environment and constraints. *Effectiveness*, according to the authors, is an external performance standard and should not be confused with efficiency, which is seen as an internal performance standard. They relate the effectiveness concept to how an organization is accepted by other organizations and

groups from 'the outside' of the focal organization. This concept is "an assessment of usefulness of what is being done and of the resources that are being consumed by the organization" (Pfeffer & Salancik, 1978: 11). *Environment* can be understood on three levels: the larger environmental system, the organization set, and the enacted environment (Pfeffer & Salancik, 1978). The larger environmental system represents the organization's entire surrounding, whereas the organization set is limited to those individuals and organizations directly interacting with the focal organization. The concept of an enacted environment has been of major interest to authors, since within this theory the organization is the one collecting and processing information from the environment. Therefore, organizations learn about the environment through the process of enactment (Pfeffer & Salancik, 1978) and consequently the environment is not any more an 'objective' entity – it becomes 'enacted' by the organizational members. Identified by the authors as the third important concept in organization-environment relationship, *constraints* on behavior explain why individuals perform with relatively small variance in organizational systems (Pfeffer & Salancik, 1978: 15).

Furthermore, Pfeffer and Salancik (1978: 279-281) advocated that changes in organizational behavior can be triggered by employing a strategy of analyzing and designing the organizational environment. The environment should be designed in such a way as to enable production of the desired activities. According to the authors this type of strategy is not easily implemented, but is effective. If the environment has an impact on behavior, then redesigning the environment may be a useful strategy that will lead to further changes in behavior. For instance, in order to establish a system of quality assurance in higher education, it is not sufficient to put pressure on universities. Instead, government may establish the regulatory agency, so that any such pressure should be directed at this level.

In summing up, a common assumption of the resource dependence perspective is that the environment poses challenges for organizational survival. In order to understand organizational change, besides investigating the 'objective' resource- and inter-dependencies, it is also important to pay attention to a number of issues such as: how organizations perceive their environments, how they control and avoid dependencies, the role of leadership in these processes, as well as the way internal power distributions affect external dependencies and vice versa (Maassen & Gornitzka, 1999). The main difference between the two perspectives of institutional and resource dependence lies in how organizational outcomes are perceived. The institutional perspective is primarily concerned with explaining how and why institutions survive over time, whereas resource dependence theory is primarily concerned with how and why organizations can establish and

maintain competitive advantage. The subsequent section introduces the dimension of power and politics in organizations, which is not part of the institutional theoretical universe and is only addressed in the resource dependence perspective to a limited extent, in that it is limited in its analysis of the types of power that may bring about organizational change. Neither does resource dependence theory explain why change occurs when resource dependence is not vital for organizational survival, nor why organizations persist with particular institutions despite their reliance or dependence on other organizations that control resources.

3.1.3 Political Perspective

Political perspectives is relevant to the study of organizational change. In particular, organizational politics may be incorporated into the literature on organizational theory as a limited and complementary perspective or as an alternative perspective (Lawler & Bacharach, 1983: 84). Politics is defined as “the less rational-appearing interplay of power and political strategy [that] occurs when power and control are dispersed” (Pfeffer, 1981: 87). According to Hardy (1991: 135), power serves two purposes in organizations: to defeat the opposition, and to prevent resistance to change. It has been suggested that power is required in order for organizations to function productively and effectively (Pfeffer, 1992), as well as to understand and explain organization choices, such as resource allocation, administrative succession, structures and strategic choice (Pfeffer, 1981). Hardy’s (1996) typology of power will be reviewed, since it is deemed to have direct relevance for explaining the complexities of organizational change in an organization comprised of many groups holding similar degrees of power in the political processes.

Hardy (1994, 1996) claims that power is four-dimensional. The first dimension, which is related to the power of resources, comes into play when organizational actors are dependent on specific resources, such as information, expertise, political access, or monetary rewards (Hardy, 1994, 1996). This is similar to resource dependency and suggests that managers are able to control or modify their employees’ behavior by the deployment of resources. As already outlined, resource dependency (Pfeffer & Salancik, 1978) suggests the organizations comply with institutional pressures when resources, such as raw materials, labor, capital, or knowledge, are at stake. Hardy’s second dimension refers to the power of individuals and groups to restrict or enable access to organizational decision-making. This power, the power of process, is derived from symbolic sources, such as hierarchy and authority. It is usually mobilized to reduce conflict and to legitimize outcomes so that they are readily accepted in the organization (Hardy, 1991, 1994, 1996). The third dimension is the power of meaning. It is believed that

if managers are able to use symbols and meanings to convey to their subordinates that change is legitimate, and if employees believe that the change is legitimate, then resistance to change will be limited (Hardy, 1991). The fourth dimension is the power of the system. This power underlines the organization's actions and behaviors, and is the most difficult to change. Hardy (1996) suggests that in order to bring about change managers need to mobilize all four types of power.

Taking the view that social action, conflict, power and politics are inextricably bound together, Lawler and Bacharach (1983) offer a political model¹¹ of organizations that contrasts with prevailing models by suggesting: (1) a shift in the unit of analysis from the total organization to the actors within the organization; (2) a conceptualization of organizational structure as a result of a power struggle and a set of conditions or parameters underlying future power struggles; and (3) a treatment of coalitions as the major tactical mechanism for gaining, maintaining, and using power in organizations (pp. 84). According to the authors, a political model of organizations implies an emphasis on action and alignments. Political action consists of the tactics actors use to deal with opposition and to maximize their influence, whereas political alignments refer to the network of coalitions within which the action takes place at a particular time (Lawler & Bacharach, 1983: 85).

Denis, Langley and Cazale (1996) used the leadership role constellation and influence tactics to explain the role of leadership during strategic change in a hospital. Their construct of the leadership role constellation was based on leadership as a team phenomenon, whereas the construct of organizational tactics referred to actions of the organizational members to influence the course of events. As already mentioned, Pfeffer (1981) emphasized the dominant role of politics in deciding organizational change when power is dispersed throughout the organization. This suggests that when there are numerous parties or individuals holding similar bases of power, the outcome of change is negotiated through the behavior and actions of those actors (Pfeffer, 1981). He advocated a focus on purposive activity within organizations by individual actors or coalitions composed of such actors. He also emphasized environmental conditions as foundations for the distribution of power within organizations. These conditions also create opportunities, which are seen as the primary underpinnings of power, for actors to make others dependent on them. The decision makers, act in accordance with what they need or perceive as needed (Pfeffer, 1981).

¹¹ Lawler and Bacharach (1983) define model as a perspective or set of concepts, propositions, foci and questions around which to organize empirical work and with which to recast work.

The political perspective on organizations (Lawler & Bacharach: 1983: 104-105) proposes a particular approach to the analysis of intra-organizational relations: a) it is necessary to identify the relevant actors, that is, those involved in or attempting to influence an issue or decision; b) organizational politics are issue specific - even though there are dominant alignments that pervade an organization, this is seen as an empirical question, because the degree to which a given alignment is maintained across issues is likely to vary within and across organizations; c) attention should be paid to the tactical nature of intra-organizational relations; d) the tactical action must be considered in the context of the organizational structure; e) political alignments both condition and channel organizational processes of communication, innovation, decision making and conflict management.

In addition, the political perspective suggests even the slightest change in the organization can bring about changes to the balance of power in an organization (Baldrige, 1971). Change in the balance of power also often leads to changes in the degree of value placed on existing norms and behaviors, especially when new power bases are constructed that hold different interests and priorities to those held by current management. According to Boons and Strannegard (2000), successful change relies on the ability of those in power to infuse a new activity or rule with value so that employees perceive it to be a positive change for the organization. Such views suggest that power itself will not bring about change; but that individuals must be empowered to act to change the organization. These empowered individuals, or organizational elite, have their own values. Based on these values, the organizational elite will interpret and decide upon the organizational action (Hinings & Greenwood, 1988). Therefore, another important issue to understand change is interpretations made by the organizational elite.

Similarly, Dutton and Duncan (1987) suggested that to understand and manage change, it is necessary to examine symbolism, sense-making and influence processes that serve to create and legitimate the meaning of the change. Therefore, in addition to the three perspectives outlined above, there is a need to include additional perspectives when examining change taking place during a time of institutional upheaval. One perspective addressed in the organizational research on transformation of the formerly socialist SOEs is that of sense-making in organizations.

3.1.4 Sense-making perspective

Weick (1995) discusses seven properties of sense-making. First, sense-making is grounded in identity construction – i.e. one has to define oneself.

Second, sense-making is by its nature retrospective. This is best explained by Weick's (1995: 12) celebrated phrase: "how can I know what I think until I see what I say?" This aspect suggests that meaning is attributed to an event retrospectively, when the sense-maker is able to take the context into consideration.

This leads to the third property of sense-making, that of the active creation of the environment. Implying both action and behavior, people "act, and in doing so create the materials that become the constraints and opportunities they face" (Weick, 1995: 31). The fourth property states that sense-making is a social endeavor that exists at two levels: at the individual level, the emphasis is on social ties and interactions in order to understand the information gathering, interpretation of the information, and the actions of individuals based on the information and their interpretation; at group or organizational levels, sense-making opens up for collective cognitions and shared frames of reference, or collective sense-making. The fifth property of sense-making is that it is ongoing activity. The sixth property is that of 'focused on and by extracted cues', which emphasizes the importance of how people take cues for their actions from their everyday sense-making. The final property is that of 'driven by plausibility rather than accuracy', which is about 'socially acceptable and credible' stories that help to explain and to energize action efforts (Weick, 1995).

In the context of academia, Gioia and Chittipedi (1991) refer to processes of sense-making and sense-giving as essential in instigating strategic change. They argued that these processes were widespread during the period of the appointment of a new university President, who immediately initiated a program of strategic change – to make the university a 'Top 10' public university. They describe the processes of sense-making and sense-giving as "involving processes whereby CEO¹² and top management team first tried to figure out and ascribe meaning to strategy-relevant events, threats, opportunities, etc. and then to construct and disseminate a vision that stakeholders and constituents could be influenced to comprehend, accept, and act upon to initiate desire changes" (pp. 444).

The argument presented above acknowledges actors' interest in bringing about change and in making coalitions in promoting certain organizational response.

¹² Chief Executive Officer, in this particular case the university's President

3.1.5 Why traditional approaches do and don't work?: Similarities and differences in organizational responses to changing environment

The traditional perspectives offer some reasons why similarities and differences in organizational responses to change exist. For instance, institutional theory claims that existing institutions will constrain an organization's ability to bring about change (Pfeffer, 1981). However, not all organizations strictly conform to external pressures for change. Instead, organizations may display a variety of responses driven by actors' interpretations of, among others, a need to comply with legal requirements, economic rationality, threats to organizational legitimacy, or periods of crisis (Hardy, 1996; Oliver, 1991; Scott, 2001, 2003). Organizations may act strategically to institutional pressures coming from the environment in a number of ways (Oliver, 1991). In his study concerning employer adoption of work initiatives, Goodstein (1994) showed that the institutional environment was not deterministic and that organizational strategic choices depended on organizational characteristics (e.g. size and visibility), institutional pressures (e.g. degree of diffusion) and their interplay with technical factors (e.g. compromise is more likely when the impact of institutional pressures on technical outcome is negative). In addition, in their empirical investigation of the adoption of organizational practices by the subsidiaries of a multinational corporation, Kostova and Roth (2002) classified four different patterns of adoption, namely, 'active', 'minimal', 'assent' and 'ceremonial'. They showed that the appearance of the patterns depended on the favorability of institutional and relational context to the practice itself. This is further supported by scholars claiming that "organizations are affected, even penetrated, by their environments, but they are also capable of responding to these influence attempts creatively and strategically" (Scott, 2001: 179).

Powell (1991) and Scott (2001) suggested that, in order to understand variation in organizational change, variation in resource environments, in industries, in organizational relation to the state, in the direct coercion of government requirements and the capability of organizations to shape or influence the nature of institutional expectations, as well as overlapping responsibilities, organizational interpenetration and systems of partial or fragmented governance, should all be taken into consideration. Certainly, there are several reasons as to why organizations respond differently to pressures for change, and why they apply different modes of adaptation. Similarities may be caused by pressure – coercive, mimetic or normative – to remain legitimate (Meyer & Rowan, 1977). Another source of similarity may stem from the inherited organizational values at the time they were established and reinforcement of these values on future organizational forms and activities (Stinchcombe, 1965). Differences, on the other hand, may be

caused by organizations experiencing environmental turbulence in different ways, since their change pathways are dependent on the “type and intensity of institutional pressures, patterns of past behavior and the dynamics of institutionalization processes” (Erakovic & Powell, 2006: 34). In addition, the current situation of an organization influences which modes of organizational transformation and change will prevail (Hinings & Greenwood, 1988).

After outlining some of the basic tenets of the traditional approach to the organizational change, a number of questions still remain: How does the process of change unfold during institutional upheaval? What changes are observed? Why is change triggered? How is process the process of change managed? Change is expected to happen during institutional upheaval since such a context may be considered as a loosely coupled field lacking mechanisms for monitoring compliance (Fligstein, 1991), as well as an institutional field with high permeability, which is thereby more open to variation and change (Greenwood & Hinings, 1996). Taking the stance that there is a wide variety of organizational responses to change caused by different factors, it is suggested that understanding the micro processes of change during institutional upheaval requires a flexible research framework. Such a framework is expected to incorporate sensitivity to the environment (Tsoukas & Papoulias, 2005), and be aware of the conditions under which change takes place (Pettigrew, 1987) and strategies of individual actors to initiate changes (Soulsby & Clark, 2007). The next section aims to provide an insight into the three sets of factors that may help understand dynamics of organizational change during institutional upheaval.

3.2 ‘Taking a step further’: Three Factors and their Origins

The approach in this study is to conceptualize major organizational change in terms of linkages between the process of change, on one hand, and its context, on the other. With regard to process of change, Pettigrew (1987) argued that to understand change we have to examine both “the analytical and the political, the role of exceptional people and extreme circumstances, the enabling and constraining forces of the environment and finally explore some of the conditions in which mixtures of these occur” (pp. 650). With regard to the context of institutional upheaval, past research has identified three types of factors that explain triggers of radical change in institutional upheaval: firm’s resources and capabilities at the time of the trigger event; the competitive environment in which the firm operates during and after the trigger event; and the quality of executive leadership available during and after trigger events (Newman and Nollen, 1998). In addition, Soulsby and Clark (2007) offered three ideal-typical patterns for organizational change processes during transformation in post-socialist SOEs: path continuity and

institutional inertia; discontinuous and revolutionary adoption of new patterns; and institutional recombination and hybridization. They also commented that, in reality, organizational change follows “a mixed restructuring path with hybrid restructuring outcomes” (Soulsby & Clark, 2007: 1431). The authors also discussed outcomes of change, such as the balance of institutional pulls and foreign institutional pushes, the degree to which the sector is globalized, the transformation phase, and the values of the enterprise’s top management team.

Based on the literature concerning organizational change presented earlier (i.e. institutional theory and its notions of stability and change; resource dependence and its notion of building external coalitions; political perspective and its notion of internal coalitions and alignments; and sense-making perspective), and arguments from the organizational research on transformation of post-socialist SOEs (Newman & Nollen, 1998; Soulsby & Clark, 2007), a framework can be established by interlinking three factors: a) organizational pattern of change (i.e. *what*-change); b) organizational members’ perceptions of both the external pressures and constraints for change (i.e. *why*-change); c) influential individuals’ level of engagement and tactics in coordinating organizational effort (i.e. *how*-change). The subsequent sections present the theoretical frames of reference for the identified factors (i.e. what is the origin of these factors), whereas arguments for their relevance to the present study are offered in the section 4.2 when the interpretive framework for data analysis is developed.

3.2.1 Organizational change as a patterned behavior

As already mentioned, while external pressures may lead to demands for homogeneity or diversification, they do not provide motivation or direction for change. Organizational capabilities and resources affect organizational responsiveness to change, which in turn determines a specific pattern of change. An understanding on how organizations change under external and internal pressures can be provided by the patterns of change organizations follow. Scholars studying organizations have therefore developed various models to demonstrate such patterns of change (Hinings & Greenwood, 1988; Laughlin, 1991; Miller & Friesen, 1984). These have contributed significantly to an understanding of strategic change, particularly by addressing the endpoints and modes of organizational change.

Endpoints of organizational change: Notion of Archetypes

Institutional archetypes aim at offering a holistic view on organizations by including organizational structure and systems with organizational values, beliefs and ideas. Organizational structure and systems form a notion of

organization design, whereas values, beliefs and ideas form the basis of an interpretive scheme (Ranson *et al.*, 1980). Interpretive schemes both underpin and are embodied in organizational structures and systems. As Greenwood and Hinings (1988) put it: “A design archetype is a set of ideas, beliefs and values that shape prevailing conceptions of what an organization should be doing, of how it should be doing it and how it should be judged, *combined with* structures and processes that serve to implement and reinforce those ideas.” (pp. 295). According to Bartunek (1984), the archetype concept can also be related to the concept of work motif¹³ and to the logics of action¹⁴. Denis *et al.* (1996: 677) suggest that a notion of archetypes is also useful for defining the endpoints (i.e. beginning and end) of change and to underline its symbolic and structural components.

In an attempt to explain how organizational structures change over time, Ranson *et al.* (1980) propose that one of the factors that most affects an organization’s structure is the interpretive schemes of powerful organizational members and the expression of these schemes in ‘provinces of meaning’. The provinces of meaning represent the organization’s values (i.e. desired ends and preferences) and interests (i.e. views concerning the suitable allocation of scarce resources). Therefore their focus was opposite to that of traditional organizational theory literature, which typically focuses on organizational size, technology and the environment in describing the reasons behind an organization’s structure. In particular, they argued that structuring should be seen as a process of generating and recreating meanings:

“[Thus] when priests revise their theology, when teachers adopt a more radical pedagogical frame of references, or when professional assumptions supplant managerial ones, we may expect structural forms to be altered to ensure their symbolic appropriateness.”

(Ranson *et al.*, 1980: 12)

For analytical purposes, Greenwood and Hinings (1988) looked at archetype coherence, embryonic archetype coherence, and schizoid incoherence. Archetype coherence refers to organizational design in which the structures and processes reflect and reinforce one interpretive scheme; embryonic archetype coherence is associated with a situation in which significant design elements are not in harmony with the existing interpretive scheme; and finally, schizoid incoherence refers to a situation where at least two interpretive schemes and the elements of at least two organizational forms exist (Greenwood & Hinings, 1988).

¹³ Here she refers to Blau and McKinley’s (1979) concept of work motif

¹⁴ Here she refers to Karpik (1978) and Bacharach, Bamberger and Sonnensstuh (1996)

Archetype concept was rather influential in organizational literature. For instance, it was used to describe taxonomies in organizational literature. In their study of 81 business firms, Miller and Friesen (1984) used the term archetypes in order to describe an empirically-based taxonomy of strategy-making in context - so called 'static archetypes' (Miller & Friesen, 1984). They identified four failure archetypes and six successful archetypes that showed the nature of relationships among organizational environments, structures and strategies, measured against organizational performance (i.e. corporate problems vs. major strengths). Table 3.1 shows taxonomy of static archetypes.

Table 3.1 Static archetypes (modified from Miller & Friesen, 1984: 91-119)

| Archetype name | Attribute | Main characteristics |
|------------------------------|--------------|---|
| Impulsive Firm | Unsuccessful | Primitive control and structures; complex environment; few top dominant managers |
| Stagnant Bureaucracy | Unsuccessful | Highly bureaucratic; strong traditions; outdated products; top management prefers old strategies |
| Headless | Unsuccessful | Highly independent subunits; no central authority; drift |
| Aftermath | Unsuccessful | Problematic firms; new management team makes efforts to change, but no tangible results |
| Adaptive Firm #1 | Successful | Facing moderate challenge; powerful chief executive |
| Adaptive Firm #2 | Successful | Facing dynamic industry; dramatic product innovations; flexible structure |
| Dominant Firm | Successful | Leading industries; highly centralized structures; updated product lines |
| Giant under Fire | Successful | Complex, decentralized firm in mature market; emphasis on control and coordination; no bold and rapid strategic changes |
| Entrepreneurial Conglomerate | Successful | Acquisition of other firms; elaborate control to unify effort |
| Innovator | Successful | Small firm dominating market niche; simple structure |

In addition, the archetype concept was used to define professional organizations (i.e. professional archetype). The professional archetype was mainly set out by organizational scholars in the period from the 1960s through to the 1990s. A number of authors pointed out characteristics of the archetypal professional organization by making a comparison between the structures and cultures of professional organizations and those of corporate bureaucracies (Bucher & Stelling, 1969; Hall, 1968; Montagna, 1968).

Similarly, while Cohen *et al.* (1972) identified the university as ‘organized anarchy’, hospitals were described as exhibiting ‘professional dominance’ (Freidson, 1970). Some years later, Mintzberg (1979) argued that a professional organization constituted a ‘professional bureaucracy’, whereas Greenwood, Hinings and Brown (1990), also discussing professional organizations, claimed that professional firms differ from other organizations – so much so that the authors developed the P2 archetype – professionalism and partnership. All these studies contributed in developing the archetypal professional organization characterized by: a) professionals holding power and engaging in collective decision making, b) slow and difficult changes; and c) consensual formulation and adoption of strategy (Powell, Brock & Hinings, 1999). Such descriptions fit well to discussions of university organization, as a collegial entity of professionals holding power and deciding by consensus.

Beside the concept of archetypes, a number of studies have attempted to trace changes in particular organizations by constructing concepts such as ‘organizational tracks (Hinings & Greenwood, 1988; Laughlin, 1991) or transition archetypes (Miller & Friesen, 1984). The subsequent section will provide more details about these concepts.

Modes of Organizational Change: Organizational Tracks

To understand the interplay of events through which organizational adaptation to environmental change take place, the concept of ‘organizational tracks’ has been introduced (Greenwood & Hinings, 1988, 1993; Hinings & Greenwood, 1988). While considering design archetypes as the beginnings and ends of change, tracks are envisaged as the presence or absence of movement between archetypes. Two considerations were important in developing the concept of tracks: organizational histories in organizational development and interpretive schemes as underpinning design arrangements (Greenwood & Hinings, 1988: 303). By so doing, the authors emphasized issues of organizational tradition and administrative heritage, which is recognized empirically by a number of studies. For instance, Barlett and Ghoshal (1989: 35) suggested that “a company’s ability to respond (to external pressures) is constrained by its internal capabilities, which are shaped by the company’s administrative heritage. Internal capability is developed over a long period of time and cannot be changed overnight by management decree”. Stinchcombe (1965) demonstrated the importance of institutional and social conditions present during the founding period or early history on an organizations’ later structure. His work indicated that the effects of these conditions tended to persist over time, and to become institutionalized. Stinchcombe (1965) argues that “...organizational forms

and types have a history, and [that] this history determines some aspects of the present structure of organizations of that type” (pp. 153).

The processes accounting for the preservation of early history characteristics are threefold (Aldrich, 1979; Stinchcombe, 1965). First, the early characteristics may be the most efficient for a given purpose. Second, the early characteristics may be preserved because organizations are insulated from environmental pressures by support from vested interests, traditionalizing forces, or strongly legitimated ideological positions. Third, the organization may not be confronted by competitive forces. Thus there is no pressure to survive. One more factor is offered by Stark (1990) when examining Hungarian enterprises and their transformation in the post-socialist period. He suggests a strong path-dependency effect under the conditions of high uncertainty and ambiguity associated with post-socialism, whereby managers still used well-understood and historically rooted knowledge repertoires. Similarly, Stinchcombe (1965) argued that organizational structures, processes and behavioral norms determined at a particular point in time tend to persist, even though environmental conditions may have changed drastically. However, he also posited that the phenomenon tends to restrict the introduction of new structures or processes *unless* changes in the organization’s environment are particularly dramatic. Although values can be a main ingredient of inertia as shown above, they can also be drivers of change when they are used for interpretation of organizational action (Hinings & Greenwood, 1988).

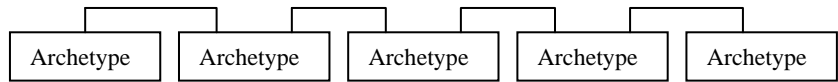
Miller and Friesen (1984) used the term ‘transition archetypes’ in order to describe the taxonomy of how organizations change their strategies, structures and information-processing methods over time. They identified nine transition archetypes, which corresponds to the notion of organizational tracks (see Table 3.2). Six of the transition archetypes were statistically significant in their data samples (i.e. the first six archetypes in Table 3.2). The last three archetypes in Table 3.2 (i.e. fragmentation, initiation by fire, formalization and stability) were described only briefly, since Miller and Friesen (1984) emphasized some limitations to generalization of these three archetypes.

Table 3.2 Transition archetypes (modified from Miller & Friesen, 1984: 133-149)

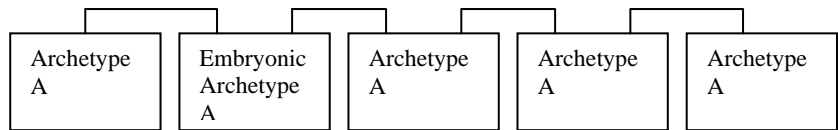
| Transition archetype | Main characteristics |
|---|---|
| Entrepreneurial revitalization | A new chief executive; increased innovation; adaptive strategies |
| Consolidation | Cost control and attention to budgeting; increased conservatism |
| Toward stagnation | Vague strategies; mechanical structures; conservative leaders |
| Toward Centralization, Boldness and Abandon | Entrepreneurship grows; strategies mirror personal leader's goals |
| Maturation | Sophisticated administrative structure; decentralization |
| Troubleshooting | Occurs after a major shock; investigation of what was wrong |
| Fragmentation | Powerful subunits; no central strong leadership |
| Initiation by Fire | Managerial inexperience; scanning environment; spottiness of effort |
| Formalization and Stability | Little change; formalizing existing procedures and strategies |

Hinings and Greenwood (1988) suggested four potential tracks organizations can follow: inertia, aborted excursions, reorientations (transformations), and unresolved excursions. Figure 3.1 shows examples of tracks related to two design archetypes: A and B. The processes of interpretive decoupling and recoupling are captured and described by the four tracks. Intermediate categories are either embryonic or schizoid. The *inertia* track involves retention of the existing design archetype. Although structural adjustment could be imposed by external pressures, the range of structural attributes remains consistent with the logic of existing interpretive scheme (Greenwood & Hinings, 1988). The *aborted excursions* are associated with the temporary and limited departure from the initial archetype. Since the introduction of new structural elements is not consistent with the existing interpretive schemes, the organizations will return to the initial archetype. *Reorientations* occur when ideas and values have lost their legitimacy, and the organization moves eventually to another archetype. The progression from one archetype to another may be linear, oscillating or delayed. Linear progressions correspond with planned, ordered change, whereas non-linear progressions are thought to be more common in practice than is evident from the literature (Greenwood & Hinings, 1988). An ideal journey for the organization that has changed its interpretive scheme and wants to change its organizational design is captured by reorientation track. However, during reorientation the organizations will experience two different sets of assumptions and structures at work, indicating that the organization is in a schizoid position or that it is oscillating between archetypes (Hinings & Greenwood, 1988).

Track A.

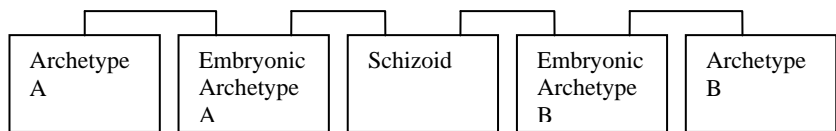


Track B. Aborted

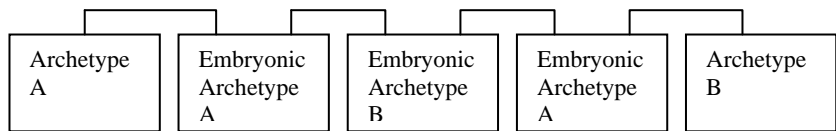


Track C. Reorientations
(transformations)

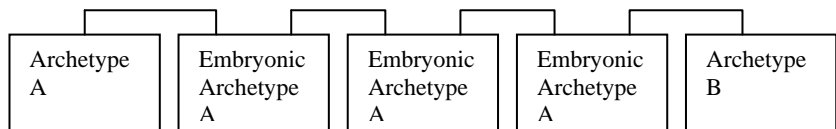
(i) linear progression



(ii) oscillations



(iii) delayed



Track D. Unresolved

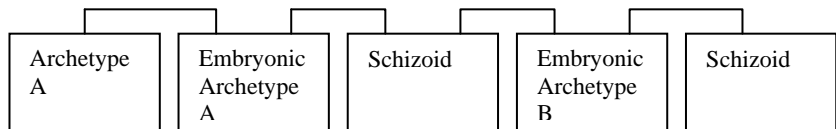


Figure 3.1 Configurations (tracks) of interpretive decoupling and recoupling (source: Hinings & Greenwood, 1988: 29)

Finally, *unresolved excursions* are associated with an organization being locked between different interpretive schemes. This implies that an organization will remain in an intermediate category over a long period of time (Greenwood & Hinings, 1988). The unresolved excursions track, as argued by the authors, is a very important but somewhat neglected track, since researchers tend to study successful change at the expense of unresolved change.

The theory of strategic organization design change (Hinings & Greenwood, 1988) suggests that in order for a reorientation to be successful, organizations have to produce considerable change activity to overcome inertia, whereas unresolved and aborted excursions are not able to produce a critical mass of action and to break from the inertia (Hinings & Greenwood, 1988: 108-109). Therefore, according to the authors, reorientation is similar to aborted and unresolved excursions in that there is more change at the beginning of the process than in the subsequent phase.

However, reorientations differ to the extent that they also have a high amount of change activity at the end (i.e. after a period of twelve years that was a research period of Hinings and Greenwood's (1988) study). The theory also suggests that middle years are characterized by a low amount of the change activity. According to Hinings and Greenwood (1988: 171) the modest change in structural coherence might occur for one or more of three reasons: 1) there might be genuine experimentation with structural forms, especially in situations of recently established arrangements; 2) there might be pressures from the inner or outer context to change; and 3) there might be 'drift' if an organization unwittingly loses coherence and then reasserts it if performance is affected.

Expanding on the work of Hinings and Greenwood (1988), Laughlin (1991) focused on an environmental disturbance that may require the reluctant organizational participants to shift their internal organizational features. Combining two research programs, he first draws on a number of previous works on design archetypes and organizational tracks (especially, Greenwood & Hinings, 1988; Hinings & Greenwood, 1988; Miller & Friesen, 1984). He also makes distinction between the first-order and second-order change¹⁵. His typology of organizational change is shown in Table 3.3.

¹⁵ Notions of first- and second-order changes will be addressed in more details in Chapter 4. The first-order changes are less radical changes of organizational practices and missions without questioning organization's integrity and existence, whereas the second-order changes question organization's nature, existence and boundaries.

Table 3.3. Laughlin's typology of organizational change (source: Gray, Walters, Bebbington & Thompson, 1995: 216)

| | | |
|---------------------|-----|-----------------|
| No Change | | "Inertia" |
| First-order change | (1) | "Rebuttal" |
| (Morphostatic) | (2) | "Reorientation" |
| Second-order change | (1) | "Colonization" |
| (Morphogenetic) | (2) | "Evolution" |

While Greenwood and Hinings' (1988) tracks refer to movements in design archetypes, Laughlin (1991) goes further and suggests alternative pathways (i.e. rebuttal, reorientation, colonization and evolution) in the case of the two change types (first- and second-order change) and how they affect, or not, the interpretive schemes. All these changes are triggered by some external event, i.e. environmental disturbance. *Rebuttal* and *reorientation* are associated with first-order changes and there are no changes in interpretive schemes, but only in organizational designs. Rebuttal refers to changes in mission and plans without changes in organizational subsystems and infrastructure, whereas reorientations are associated with changes in organizational subsystems and designs. For instance, a financial crisis may cause some organizational restructuring without questioning the interpretive schemes and values leading to the organizational reorientation. *Colonization* and *evolution* refer to second-order change and to changes in interpretive schemes. Colonization is a step further from reorientation, since it indicates that changes in organizational design may cause changes in interpretive schemes. For instance, an environmental disturbance would in this case cause changes in both visible and invisible organizational elements. Evolution is associated with changes in interpretive schemes leading to organizational restructuring. For example, an environmental disturbance would cause that organizational members start discussing organizational purpose and design and producing new organizational ethos by restructuring the organization.

Other authors attempted to distinguish and account for changes in archetypes and changes in interpretive schemes. For instance, one way to change archetypes may be by using organizational tactics. In such a case, there may be three types of consequences or outcome: symbolic, substantive and political (Denis *et al.* 1996). According to the authors, symbolic outcomes relate to changes in the dominant interpretive schemes (Hinings & Greenwood, 1988), whereas substantive outcomes relate to the direct effect that organizational tactics have on the structural implementation of archetypes. Finally, political outcomes relate to the redistribution of distribution of formal and informal power and the evolution of leadership roles (Denis *et al.* 1996: 685).

To understand what tracks an organization might follow in the future, it is necessary to analyze the current nature of commitments to the prevailing or alternative interpretive schemes (Hinings & Greenwood, 1988: 50): a status-quo commitment is a widespread commitment to an existing interpretive scheme, a reformative commitment is a widespread commitment to an alternative interpretive scheme; an indifferent commitment is a low commitment to prevailing and alternative interpretive schemes, and a competitive commitment is a substantial commitment to two or more interpretive schemes. Table 3.4 summarizes tracks and respective patterns of commitment.

Table 3.4. Typology of association between tracks and patterns of commitment (source: Hinings & Greenwood, 1988: 53)

| Track | Patterns of commitment |
|------------------------|---------------------------------|
| A Inertia/retention | <i>Status-quo</i> - indifferent |
| B Aborted excursion | Competitive-indifferent |
| C Reorientation | Reformative-competitive |
| D Unresolved excursion | Competitive |

Even though changes across different professional services (Cooper, Hinings, Greenwood & Brown, 1996; Denis *et al.* 1996), multinational companies (Rutenberg, 1970), or in the market (Jenkins & McDonald, 1997) were analyzed by using concepts from archetype theory, this theory has been criticized. The main problems emphasized by Kirkpatrick and Ackroyd (2003: 737) relate to two features of archetype theory: its functionalist explanation of organizational structures, and its generalization across different professions. The former, according to the authors, has implications for treating organizations as having a strong internal unity without recognizing political instability as a normal feature of organizations; the latter suggests that concepts and ideas developed in the context of law and accountancy companies can be applied unquestionably on a more general basis (Kirkpatrick & Ackroyd, 2003). Use of archetypes was also considered as unsuitable in the context of institutional upheaval, due to the lack of ‘organizing template’ (Newman, 2000).

After presenting notions of archetypes and tracks, the subsequent section will present the origins of the second factor considered to be of importance for this study.

3.2.2 Organizational change as an ambiguous project

Traditionally, change is approached as a planned, rational and intentional process. Consequently, literature on planned change emphasizes the role of a change agent serving as a catalyst for change (Lippit, Watson & Westley,

1958). Such an approach would suggest that certainty exists about how a change process will unfold. While the myth of planned change may explain impetus for change when a new change agent is appointed, it fails to account for sources of change and informal organizational processes. For instance, change in the environment creates pressures for organizational change. However, organizational actors themselves must perceive the changed environment and the need for change (Powell *et al.* 1999: 12). To understand how and why organizational change takes place, we must take into account the context within which change is initiated, and how this context and organizational capabilities for change are perceived by the organizational members.

Organizational actors translate pressures for change into organizational decisions. This is expected to be even more remarkable when addressing organizational change during institutional upheaval, since ambiguous signals for change stemming from the environment, and ambiguity within the organizational structures and systems have to be accounted for. Therefore, ambiguity is seen as an occasion for organizational change. Attention to context characterized by both high uncertainty and high ambiguity was especially important for the organizational research in post-socialist context (Soulsby & Clark, 2007).

In what follows, the concept of ambiguity will be outlined. Then, two specific ambiguity topics - purpose and intention - are reviewed, due to their importance to this study.

Concept of Ambiguity

Ambiguity is a multilevel concept. It can be applied to a number of disciplines, ranging from engineering, linguistics, political sciences and psychology, to organization theory. This overview will address three theoretical concepts of ambiguity: decision-making ambiguity, cultural ambiguity, and role ambiguity. These three levels correspond to the sources of the ambiguity at the organizational, cultural and individual levels.

Work on ambiguity and choice in decision-making (Cohen *et al.*, 1972; March & Olsen, 1976) is one of the most cited pieces of research on ambiguity at the organizational level. Using illustrations from educational organizations, these authors specify four types of 'opaqueness' in organizations (March & Olsen, 1976: 12): 1) the ambiguity of intention (i.e. inconsistent and ill-defined objectives); 2) the ambiguity of understanding (i.e. lack of clarity between organizational actions and their consequences); 3) the ambiguity of history (i.e. interpretations about past events and their effects), and 4) the ambiguity of organization (i.e. the uncertain and

changing pattern of participation). According to the authors, ambiguity is a major feature of decision-making in most public and educational organizations, as well as within young organizations and changing environments (March & Olsen, 1976). Bess (2006) refers to this kind of ambiguity as structural and defines it as “a formal lack of clarity about responsibilities for work processes and authority for decisions” (pp. 523).

Research on ambiguity within organizational and occupational cultures can be found in the work of Meyerson (1991, 1994). She argues that most cultures experience ambiguity, and that these experiences are differently manifested. These manifestations are caused by different interpretations and legitimacies, which in turn depend on particulars of the local culture. For instance, one organization may value ambiguities for the opportunity of learning they bring, whereas a similar organization with different cultural values may react negatively to those same ambiguities. Bess (2006) refers to the cultural ambiguity from an intra-organizational level (pp. 523): “Cultural ambiguity reflects a lack of exactness about attitudes and values of workers in formal and informal organizational settings with respect to work procedures and outcomes”. Meyerson (1991) puts forward the notion of conceptualizing ambiguity as a natural aspect of organizational life. There is, according to Martin and Meyerson (1988: 112), considerable evidence of people finding the experience of ambiguity unpleasant.

Role theory is another area that emphasizes the importance of ambiguity (Kahn, Wolfe, Quinn, Snoek & Rosenthal, 1964; Katz & Kahn, 1978). This theory uses ambiguity as a framework for understanding organizational behavior. When discussing role ambiguity, Kahn *et al.* (1964: 72) argue that “the person must be able to anticipate with fair accuracy the consequences of his own actions”. Role ambiguity focuses on two levels of analysis: on the perceptions of an individual in the case of ‘subjective role ambiguity’, or the characteristics of a role in the case of ‘objective role ambiguity’ (Kahn *et al.*, 1964: 22). For instance, with reference to American college presidents, Cohen and March (1986) identified several ambiguities of ‘organized anarchy’: purpose, power and responsibility, experience, and success. While purpose and success are considered to be interrelated to the ‘objective role ambiguity’, other ambiguities of organized anarchy (power and responsibility, as well as experience) are considered to be interrelated to the ‘subjective role ambiguity’.

Some authors voiced their support for positive consequences of ambiguity. Indeed, positive impact of ambiguity have been documented in information system research (Whinston & Geng, 2004), and communication research (Eisenberg, 1984). Similarly, Martin and Meyerson (1988) link ambiguity to innovation in certain contexts, such as academic research and social work:

There are a variety of sources of ambiguity: unclear expectations, preferences, and evaluation criteria; loosely coupled actions and outcomes; and rapid change, to name a few. These sources of ambiguity suggest several reasons why ambiguity and innovation may be linked. When expectations, preferences, and evaluation criteria are unclear, there is no apparent right or wrong outcome. Because there is no risk of being 'wrong', experimentation - and thus creativity - is encouraged. And if objectives are not clear *a priori* they can be permitted to emerge.

(Martin & Meyerson, 1988: 119)

In addition, Contractor and Ehrlich (1993) argued that strategically ambiguous mission statements facilitate the birth of loosely coupled organizations. This emphasis on the strategic use of ambiguity is also claimed by Bess (2006). With reference to academic governance and critics of managerialism and control in academic organizations, Bess (2006) argues for the necessity of strategic ambiguity: "...genuine diversity in values, or differences in operating procedures – can lead to substantive arguments about purposes and methods that help redefine institutional purpose and enhance individual commitment" (pp. 522).

Following this insight into the concept of ambiguity, it is important to reflect upon the prevailing characteristics of both higher education institutions, and the environment in which these institutions are hosted. By so doing, two specific ambiguities are emphasized. First, there is ambiguity of purpose, which is a fundamental characteristic of higher education institutions. Second, there is ambiguity of intention, which is caused by the ill-defined demands stemming from the higher education context. The remainder of this section addresses these two topics.

Ambiguity of Purpose: Characteristic of Higher Education Institutions

Existing literature suggests two approaches: either that a university is organized on the basis of what is expected from it (Bleiklie, 1998), or on how it may be viewed as an organization (Olsen, 2005). In the first approach, based on the changed expectations in the field of higher education, Bleiklie (1998) argued for the existence of three organizational ideals for universities: public agency, cultural institution and corporate enterprise. The second approach, on the other hand, advocates the use of four stylized visions of university organization and governance, such as: a community of scholars, an instrument for national purposes, a representative democracy, and a service enterprise embedded in competitive markets (Olsen, 2005). The following account will briefly reflect upon these two approaches.

When it comes to Bleiklie's (1998) perspective, Figure 3.2 summarizes his typology and provides a closer look into the organizational ideals that shall be referred to as the bureaucratic, the professional and the entrepreneurial organization respectively. Reform initiatives in public sector in general, and higher education in particular, may result in three sets of expectations. Firstly, a set of policy expectations can be related to higher education as a loyal implementer of the reforms. The organizational ideal that relates to this set of expectations is that of the bureaucratic organization, emphasizing the formal organization, hierarchy, control, task specialization, expansion of rules and standardization in behavior (Bleiklie, 1998: 305).

| University | Expectations |
|----------------------|---|
| Public Agency | Implementer of public policy; part of national civil service - <i>loyalty</i> |
| Cultural Institution | Cultural institution; engaged in academic activity; autonomous research and teaching - <i>quality</i> |
| Corporate Enterprise | Producer of education and research activities - <i>efficiency</i> |

Figure 3.2. Typology of organizational ideals (source: Bleiklie, 1998: 305-307)

Secondly, policy initiatives focused on the establishment of evaluation bodies composed of academics and aiming at learning and improvement are examples of political expectations that emphasize the professional organization. The roots of this organizational ideal can be found in expertise structures, such as in personal, discipline based or collegial forms (Clark, 1983: 158). Authority, however, is decentralized and situated at the lowest level of the expertise structure (Bleiklie, 1998: 306). Hence authority rests within the informal structure, triggered by mechanisms such as socialization, indoctrination, and training, whereas standardization is a product of skills and accepted collegial decisions (Bleiklie, 1998).

Finally, a set of expectations can be related to higher education as a producer of services for the society and as stimuli for increased economic growth (Bleiklie, 1998: 307). The organizational ideal that relates to these expectations is the entrepreneurial organization. Here, state control and institutional bureaucracy are replaced by empowerment of leaders to search for possibilities in the higher education market place (Bleiklie, 1998: 306). Each institution establishes "its own relations to students, staff, and other higher education institutions" (Clark, 1983: 62). Institutions are dependent on these exchange relations, and the central tendency is one of innovation. There is less emphasis on formal structures, and hierarchical structures are replaced by more flat designs. There remains a need for specialists; however more emphasis is put on intra- and inter-organizational liaison and

communication activities. The market dictates requirements for organizational survival. Therefore, various forms of evaluation become a core activity of such organizations (Bleiklie, 1998: 307).

When it comes to the Olsen's (2005) four university visions¹⁶, the key organizing principles associated with these visions are respectively: constitutive rules; command and hierarchy; bargaining and majority votes; and market prices and competitive selection. The remainder of this section presents Olsen's (2005) views of the four university visions.

First, the university as a community of scholars is organized around universal criteria of free inquiry and intellectual freedom, rationality, intelligence, learning, academic competence and expertise, theoretical simplicity, explanatory power, and logical coherence. A university's identity is rooted in a shared commitment to searching for the truth, rather than searching for immediate utility and applicability, political convenience or economic benefit. The essence of this vision is the university's collegial organization and governance, which in turn reflect upon both its institutional identity and its special role within society.

Second, the university as an instrument for national purposes finds its purpose in implementing policies created by democratically elected leaders. Some of the key features of this perspective are: applicability and utility of research for practical problem-solving, serving national objectives, team-based rather than individual research, cross-disciplinary and applied research. University is expected to specialize in order to achieve excellence, and therefore, there are plenty of budgets for such purposes. In such a university, administration becomes the core of the university. The main criteria of assessment are efficiency and effectiveness. Political decisions and political change are main drivers for change within the university.

Third, the university as a representative democracy is a governance model focused on internal stakeholders (i.e. employees and students). Emphasis is on formal arrangements of organization and governance, rather than on characteristics of the university's work processes. Scholarly competence is improved by empowering the younger faculty and reducing the oligarchy of senior professors. On the other hand, the university's performance is improved by empowering administrative and technical staff. University change in this perspective is achieved through mechanisms of internal bargaining and shifting coalitions.

¹⁶ i.e. a community of scholars, an instrument for national purposes, a representative democracy, and a service enterprise embedded in competitive markets

Finally, the university as a service enterprise embedded in competitive markets operates as an enterprise within regional or global markets with its main objective being to be competitive and increase profits. This is achieved by treating research and higher education as commodities. This perspective sees the university as separated from the state and political authorities. For instance, government regulates and provides incentives rather than dictates what shall be done. University leaders become entrepreneurs within a wider environment consisting of stakeholders, customers, donors, and competitors. Quality is assured by the deployment of external accreditation. Change is driven by competitive selection and survival of those that have capacity to adapt to environmental imperatives.

These visions all suggest that universities have to balance their role on the basis of various co-existing aspirations and visions. This in turn contributes to the ambiguity of purpose in the university organization. As argued by Cohen and March:

Almost any educated person can deliver a lecture entitled ‘The Goals of the University’. Almost no one will listen to the lecture voluntarily. For the most part, such lectures and their companion essays are well-intentioned exercises in social rhetoric, with little operational content. Efforts to generate normative statements of the goals of a university tend to produce goals that are either meaningless or dubious.

(Cohen & March, 1986: 195)

It is due to the ambiguity of purpose and strong departmentalism that “mainline organizational theory has changed its tune as it has grappled with educational organizations” (Clark, 1979: 253). As a result, when March and Olsen (1976) made attempts to adapt decision-making theory to the higher education realities, a strange set of metaphors emerged: organized anarchies and garbage-can situations. To deal with the ambiguity implies “goals that are unclear, technologies that are imperfectly understood, histories that are difficult to interpret, and participants that wander in and out” (March and Olsen, 1976: 8).

The argument acknowledged in this section considers the ambiguity of purpose as an unavoidable condition of higher education institutions. Another type of ambiguity that is faced by higher education institutions is the ambiguity of intention, caused by the contemporary trends introduced in Chapter 2.

Ambiguity of Intention: Environments and Standards

Ambiguity of intention is interrelated to an enacted environment (Pfeffer & Salancik 1978). Even though the concept of environment has been briefly introduced in section 3.1.2, the following two sections will reflect upon the theoretical construct of the environment, as well as a number of 'standards' imposed on organizations nowadays.

Environment: how do we define it?

Most people would argue that they are aware of their environment and they know what it implies. However, if asked to provide more specific answers, these are likely to be very varied. Dill (1962) considered that environment should be treated as information that is available to an organization. There is a great deal of information 'out there'; however, some of it may catch an organization's attention and become relevant for that particular organization. Dill further argues that in order to link environmental inputs to organizational activities, there are three important areas to focus on for analysis: a) organizational exposure to information, b) organizational readiness to store environmental inputs, and c) organizational strategies for searching the environment.

There have been many typologies of environment in literature. For instance, Katz and Kahn (1978) discussed five different environments surrounding an organization, and to which the organization must adapt. These environments are categorized as the cultural (value patterns), the political (pattern of legal norms that define the organization's formal legitimacy and limit its activities), the economic (competitive markets and competitive sources of input), the technological (technology), and the ecological (geography, natural resources, and climate). In addition, they define four types of functional relationships that may vary among these environments: stability vs. turbulence, uniformity vs. diversity, clustered vs. random, and scarcity vs. munificence.

Environments can also be defined as 'technical' and 'institutional'. In technical environments organizations are rewarded for '*producing* the right things' - for efficient and effective organization of the work processes (Tsoukas & Papoulias, 2005: 82). In institutional environments, on the other hand, organizations are rewarded for '*doing* the right things' in the broader institutional-cultural context (Tsoukas & Papoulias, 2005: 82). Defined in such a way, the environment becomes a reference point for organizations in guiding their behavior. Nowadays, such guidance is usually provided as a set of standards that organizations refer to.

‘World of Standards’: An illustration of the Europeanization of Higher Education

Standards are voluntary rules in the modern world that facilitate coordination and communication, and attempt to provide good solutions, policies or products (Brunsson & Jacobsson, 2000). Standards are provided by ‘standardizers’ that can neither impose sanctions nor claim authority (Brunsson & Jacobsson, 2000). For instance, the European Union (EU) is an international governmental organization, which creates standards in order to compensate for its lack of authority to issue binding directives. Standardization provided by the EU is often considered as the Europeanization process.

Research on European integration has evolved over the years with several points of departure, such as international relations theories¹⁷, theories of multi-level governance, or even involving ‘comparativists’ in the research field (Jacquot & Woll, 2003). A large body of literature treats European integration as the independent variable influencing the politics of member states, whereas the term Europeanization signified the transformation of a variable at a national level that adapts to a European model, logic or constraint (Jacquot & Woll, 2003). A general theory aiming to clarify the mechanisms of Europeanization has been called a misfit model. According to Cowles, Caporaso, and Risse (2001), the degree of compatibility (fit) between national and European institutions is negatively correlated with the degree of adaptation pressure, meaning that a misfit between the two levels creates adaptation pressures.

Critics of this ‘top-down’ perspective, which mainly focused on structural elements and institutional pressures of effect of European integration, disperse in at least two directions. On the one hand, Jacquout and Woll (2003) insisted that two significant aspects are neglected. These two aspects, seen as important mechanisms in inducing change, are: the role of actors in the concrete translation of the effects of integration and the motives of the action. On the other hand, Vink (2002) suggested that EU policies are a result of political action by domestic actors who shift domestic issues to the European level.

In the field of higher education, the Europeanization trend is triggered by various mechanisms aiming at consolidation of the European Higher Education Area (EHEA). Vink’s (2002) typology of European integration is shown in Figure 3.3, assuming that: negative integration demands that domestic regulations comply with the Community Law; whereas positive integration takes place when European directives, regulations or soft

¹⁷ Explaining it as a regime

instruments¹⁸ prescribe or encourage a new institutional model at the domestic level to regulate in such areas as environmental policy or higher education policy.

| | Negative (deregulatory) | Positive (regulatory) |
|--------------------|-------------------------|------------------------------|
| Strong (binding) | e.g. Competition Policy | e.g. Environmental Policy |
| Weak (non-binding) | e.g. Railways Policy | e.g. Higher Education Policy |

Figure 3.3 Typology of European Integration (Vink, 2002: 3)

Furthermore, Knill and Lehmkuhl (2002) suggested three mechanisms of Europeanization: institutional compliance, changing domestic opportunity structures, and framing domestic beliefs and expectations. In this typology, the third mechanism, which provides Europeanization by mobilizing for the domestic support, is designed to prepare the ground for further broader policies, implying that European influence can be found in policies that are neither influencing the relative distribution of power and resources between actors at the national level nor prescribing a concrete institutional model. These policies are designed to increase support for national level reforms that may facilitate future steps towards further integration (Knill & Lehmkuhl, 2002: 271).

The non-binding Bologna Declaration¹⁹ on the European higher education is seen as an important inspiring element for transforming the EHEA. In Vink's typology it is seen as weak-positive integration with substantial domestic impact, whereas in Knill and Lehmkuhl (2002) typology it can be seen as 'framing domestic beliefs and expectations'. Phenomena such as the Bologna process represent a formal arrangement at European level, contributing to trans-national standardization (Bleiklie, 2003). Supranational agencies²⁰ are engaged in developing international standardization and accreditation of higher education institutions. As a result, values are changing and transforming, and the university-state-society axis becomes very complex.

Following this combination of Europeanization and education policy, it has been claimed that the process of the Europeanization of Research & Education (R&E) policy mirror two interrelated processes (Trondal, 2002): the emergence of supranational policies at the EU level and national convergence towards these policies. However, empirical observations from the Norwegian case revealed that the emergence of supranational R&E

¹⁸ Such as Open Method of Coordination (OMC) in higher education

¹⁹ As mentioned in Chapter 2, the Bologna Declaration was signed in 1999 to harmonize European Higher Education space.

²⁰ such as UNESCO and OECD

policies at the EU level has accompanied moderate convergence at the national level, which represents a mix of moderate institutional linkages between national ministries and EU institutions, moderate adaptation pressures towards national R&E policies from the EU, and institutional path-dependencies in national R&E policies (Trondal, 2002). The Trondal (2002) study was focused on vertical integration across levels of governance. Some other studies, however, focused on a comparison of policy trends in Western European higher education²¹ and revealed that prevailing trends lead to the emergence of similar policy issues, yet these issues do not necessarily have the same policy solutions in practice (Kaiser *et al.*, 2003). In the case of a lack of specific policy issues, this gap is expected to be even higher.

The argument presented here acknowledges both the importance of global forces, and the highly contextualized local responses. As a result, the ambiguity of intention at the organizational level occurs.

3.2.3 Organizational change as a coordinated effort

Organizational change is a process that needs to be managed. In cases where control mechanisms are absent, it is more appropriate to discuss coordination than control. Coordination can be understood and demonstrated in various ways. The concept of coordination is outlined below.

Many definitions have been used to describe the concept of coordination. It is an elusive concept, which incorporates different level of analysis (e.g. economic and social coordination, inter-organizational coordination, intra-organizational coordination, group and inter-personal coordination), and stretches over a number of disciplines ranging from natural sciences (e.g. muscular coordination of a human body), and technical sciences (e.g. coordination among computer units within a local area network), to social sciences (e.g. global coordination in supranational agencies, such as the United Nations). As the definition of coordination has broadened, the precision of the meaning has lessened. An insight into the concept of coordination provided below relates to organizational coordination, and is limited to top inter- and intra-organizational coordination.

Inter-organizational coordination used to be a core concept in the inter-organizational relations field, with the focus being on interdependence. According to the resource dependency perspective, interdependence characterized by the flow of transactions varies with the resources available (Pfeffer & Salancik, 1978). Definition of the inter-organizational coordination is provided by Rogers and Whetten (1982: 12) as "... the

²¹ Study was conducted in the following countries: Austria, Denmark, Finland, Flanders, France, Germany, the Netherlands, Sweden and the UK.

process whereby two or more organizations create and/or use existing decision rules that have been established to deal collectively with their shared task environment". The authors also discussed three strategies for coordination: mutual adjustment, alliance, and corporate. An informal inter-organizational coordination is defined as 'coordination without hierarchy' (Chisholm, 1989). In his study of the public transit system of the San Francisco Bay Area, Chisholm (1989) found that in the absence of formal coordinative arrangements, informalities make coordination possible.

At the organizational level, the concept of coordination was of fundamental importance to organizations. It has been treated in many ways in organizational literature. In simplest terms, it refers to a process of directing organizational action. The core concept has its roots in early management work that portrays coordination as one of the four primary functions of management - the others being organizing, planning, and controlling (Fayol, 1949). This implicitly calls for actions of a central decision maker (e.g. a manager) who controls subordinates. But there is more to be said about coordination. It can be achieved by various means and there are many typologies developed in literature (Gulick, 1937; Lindblom, 1965; Thompson, 1967).

Gulick (1937), for example, suggested that coordination may be achieved in two ways - by organization and by dominance of one idea - which are complementary to each other and both should be utilized. Coordination by organization implies "...interrelating subdivisions of work by allotting them to men who are placed in a structure of authority, so that the work may be coordinated by orders of superiors to subordinates, reaching from the top to the bottom of the entire enterprise", whereas coordination by the dominance of an idea implies "...the development of intelligent singleness of purpose in the minds and wills of those who are working together as a group, so that each worker will of his own accord fit his task into the whole with skill and enthusiasm" (Gulick, 1937: 6). In addition, Gulick (1937) recognized the importance of the coordination by idea as a primary means of coordination for the 'management of future' and 'leadership', since he argued that "the task of administrator must be accomplished less and less by coercion and discipline and more and more by persuasion" (pp. 39). Similarly, Barnard (1938) argued that coordination is a 'creative side of organization', since the quality of coordination will determine organizational survival under most circumstances. Defined in such a way, coordination involves more than a basic level of interdependence among various organizational parts and units. Gulick (1937) emphasized five limitations of coordination (pp. 40): the uncertainty of future; the lack of knowledge and experience; the lack of administrative skill and technique; the vast number of variables involved and

incompleteness of human knowledge; and the lack of orderly methods of developing, considering, perfecting and adopting new ideas and programs.

Some later work investigating the decision-making process in a political organization gets more specific about various types of coordination. Lindblom (1965) put at one extreme a familiar case of central coordination in the hands of a central decision maker. At the other extreme he referred to a process of 'mutual adjustment', which lacks a decision maker with coordinating responsibility. In addition, there is a third kind of coordination, identified as 'coordination by agreed acceptance of rules of behaviour' (Lindblom, 1965). For Thompson (1967), coordination by mutual adjustment involves "transmission of new information during the process of action" (pp. 56). He also offered two more types of coordination based on the level of interdependence in an organization: coordination by standardization - establishing routines and rules which constrain action; and coordination by plan - establishing schedules for the interdependent units (Thompson, 1967: 56).

Clark (1979), with reference to academia, named coordination as an unusual problem, due to the weekly interdependent departments and loosely coupled operations. Thus he defined four pathways of coordination: bureaucratic, professional, political and market. Bureaucratic coordination is reflected in the formal administrative structures of higher education institutions and systems. It mainly relates to administrative frameworks in higher education systems, whereby the administrative agencies and national departments of education expand their coordinating capacity through a host of bureaucratic means. As a result, the coordinating influence of bureaucrats increases upon the demands of mass higher education (Clark, 1979). Professional coordination allows professors to rule at various levels. It is located at the understructure²² level (Clark, 1983) and performed either by individuals or through various representative bodies, such as the Senates, Unions and associations. Political coordination, as with any other coordination, depends on the various national contexts. It involves groups such as regular political officials, external and internal interest groups. Market coordination can have at least three types (Clark, 1979): the consumer market (e.g. tuition fees), the labor market (e.g. faculty and administrative employments) and the institutional market (e.g. prestige among institutions is seen as a main

²² As mentioned in Chapter 2, Clark (1983: 205-206) draws our attention to three primary authority levels: the understructure (i.e. basic academic or disciplinary units), the middle or enterprise structure (i.e. individual organizations) and the superstructure (i.e. government and other regulatory mechanisms that relate organizations to one another).

commodity of exchange). Clark (1979) suggested a blending of political and bureaucratic coordination in higher education system.

As we can see, the above listed typologies involve both formal and informal coordination mechanisms. On the one hand, there is a centralized, formalized coordination achieved through a well prescribed hierarchical organization (Galbraith and Nathanson, 1978), formal planning (Fayol, 1949; Galbraith, 1973; Thompson, 1967), temporary committees or task forces (Galbraith and Nathanson, 1978); mutual adjustment (Lindblom, 1965; Thompson, 1967); formal rules (McCann and Galbraith, 1981); liaison roles (Galbraith and Nathanson, 1978); and so on. On the other hand, there is coordination through norms of reciprocity and personal attributes (Chisholm, 1989) or simply by idea and creating meaning in everyday life. In this case, coordination is achieved by sense-making.

3.3 Summary

In essence, any theory of organizations is about change, and many reasons can instigate organizational change. As already outlined, the literature suggests that organizational change can occur as a response to both external sources and internal pressures. External sources can range from government laws, market forces, and technology change, to socio-political change. On the other hand, internal pressures may involve, among others, changes in organizational power dynamics, organizational size, and complexity.

This chapter had two aims. First, some traditional perspectives on organizational change are presented, since they were used by scholars conducting studies on the organizational change in both higher education and non-stable environments. Second, three sets of factors are outlined that may be of relevance for understanding the organizational change during institutional upheaval. It is assumed that to understand the dynamics of change during institutional upheaval is based on an argument that incorporates: importance of power and organizational politics, importance of values, specifics of the professional organization, and weak institutional context. As a result, factors that may help understand what changes have taken place, why these changes have taken place and how are these changes managed are presented. After reviewing origin of these, the next step is to build a conceptual framework in order to understand the process of organizational change during institutional upheaval.

4. Organizational Change during Institutional Upheaval: Characteristics and Conceptual Model

The purpose of this chapter is threefold. First, it is felt to be of importance to define, in a systematic way, the characteristics of organizational change during institutional upheaval. This will be achieved by defining change based on prevailing typologies of process theories of change (drivers and tempo), as well as magnitude of change.

Second, once the change is described, an attempt is made to understand its dynamics. In so doing, interpretive framework for data analysis is developed by applying and arguing for three sets of factors: one that describes the patterns of change, and two sets of factors that facilitate change.

Finally, the conceptual model is summarized by incorporating the characteristics of the organizational change during institutional upheaval and the relevance of the three factors. It is suggested that organizational change is facilitated by the presence of multiple interpretations that provide opportunities for coordination of organizational efforts. This model will be utilized for the discussion of findings in chapter 10.

4.1 What do we know about types of Organizational Change?

It is possible to approach the notion of organizational change from several perspectives. There are two widely used dimensions of organizational change that are based on whether the focus of change constitutes an analysis of the content of change or of the process of change. The process of change relates to issues, such as how change occurs, the speed of change, the sequence of events, the intra-organizational processes, resistance encountered, and so on (Barnett & Carroll, 1995). Seeing organizational change as a process also posits that organizational change may depend on the 'tempo', suggesting two extreme cases of episodic and continuous change. Both typologies (process and tempo) are also interrelated with the magnitude of change. The two subsequent sections provide an insight into the typologies and magnitude of change.

4.1.1 Process and Tempo of Organizational Change

Process theories focus on events and activities that occur over time, offering theoretical accounts of the transition process (Cule & Robey, 2004: 231). This study adopts Van de Ven and Poole's (1995: 512) definition of a process as the progression of events, i.e. their order and sequence, in an organizational entity's existence over time. In order to address

organizational change systematically, Van de Ven and Poole (1995) provide a typology of process theories by using two dimensions: unit of change and mode of change. The unit of change involves change processes at many organizational levels, from individual, group, organization, population to communities of organizations. Mode of change classifies change processes as either prescribed or constructive. The prescribed process “channels the development of entities in a pre-specified direction, typically of maintaining and incrementally adapting their forms in a stable, predictable way” (Van de Ven & Poole, 1995: 522). The constructive process “generates unprecedented novel forms that, in retrospect, often are discontinuous and unpredictable departures from the past” (Van de Ven & Poole, 1995: 522). Van de Ven and Poole (1995) offer four basic types of process theories (life cycle, teleology, dialectic and evolutionary) and their respective event sequences and generative mechanisms, i.e. motors (see Figure 4.1).

| | | | |
|-----------------------|-------------------|--|---|
| <i>Unit of Change</i> | Multiple Entities | Evolution - population scarcity, environmental selection, competition | Dialectic - pluralism (diversity), confrontation, conflict |
| | Single Entity | Life Cycle - immanent program, regulation, compliant adaptation | Teleology - purposeful enactment, social construction, consensus |
| | | Prescribed | Constructed |
| <i>Mode of Change</i> | | | |

Figure 4.1 Process theories of organizational development and change (modified from: Van de Ven & Poole (1995: 520))

Each of the four theories is characterized by a different sequence of events and generative mechanisms (Van de Ven & Poole, 1995: 520-521):

- a) Life cycle theory depicts change in a sequence of stages: start-up, growth, harvest, terminate, and start-up. The generative mechanisms applied in this type of theory are an immanent program, regulation or compliant adaptation.
- b) Teleological theory depicts change as a cycle of goal formulation, implementation, evaluation, and the modification of goals based on learning. It has a generative mechanism of purposeful enactment, social construction and consensus.

- c) Dialectical theory has a sequence of events of thesis/antithesis, conflict, synthesis, and thesis/antithesis. Its generative mechanism is that of pluralism, confrontation and conflict.
- d) Evolutionary theory accounts for an event sequence of variation, selection, retention and variation. It has generative mechanisms of resource scarcity and competitive selection.

Taking ‘tempo of change’ as a point of departure, Weick and Quinn (1999) developed their own typology of organizational change as episodic vs. continuous change. Episodic change is intentional, exceptional and sometimes radical. This notion of change is evident in punctuated equilibrium theories (Gersick, 1991; Tushman & Romanelli, 1985). The punctuated equilibrium model can be seen as an alternative to gradualism and linearism. With its roots in the field of paleontology (Lichtenstein, 1995), the central proposition of punctuated equilibrium encompasses three concepts: 1) stasis, which refers to a long period of relatively unchanged form; 2) punctuation, which is a short, radical change; and 3) dominant relative frequency, which is the rate punctuations occur in a particular situation (Eldredge & Gould, 1972). The punctuated equilibrium model suggests that factors, such as the environmental and technological changes, will influence changes in organizational strategies, structures and power distributions.

Continuous change is ongoing and constant. For instance, the results of everyday interactions, decisions and routines present in organizational life can accumulate overtime into substantial change. Therefore, institutional theory implies an evolutionary tendency towards isomorphism (Greenwood & Hinings, 1996). Also contingency theory emphasizes a relatively continuous adaptation process and alignment with the environment. In addition, transaction cost theory suggests a series of micro economic decisions as a result of cost-minimization. Common to this kind of changes is that it does not challenge organizational values – it rather builds on them.

Recent attempts at viewing change as ‘situated’ have been made in order to account for situations, whereby there are major interventions (i.e. shocks to the system) leading to continuous change (Langley & Denis, 2006). Such situated change is claimed to help address some neglected dimensions of change associated with major change interventions. Langley and Denis (2006) discuss four phenomena related to the situated change: disintegrative, dynamic, endogenous and asymmetric. According to the authors, the label *disintegrative* suggests that this type of change usually destroys some organizational structure and processes in order to build others. In addition, *dynamic* change implies feedback loops that may create unpredictability and oscillation, whereas *endogenous* change indicates constant change of the

change initiatives themselves. Finally, *asymmetric* change is recognized in the decision-implementation gap, leading to both benefits and disadvantages.

Obviously, there is no shortage of typologies of organizational change. Even though the magnitude of change has been briefly introduced on several occasions, the next section will offer more details and some empirical evidence on this important topic.

4.1.2 Magnitude of change

In the language of Van de Ven and Poole (1995), a prescribed change mode tends to create first-order change, whereas a constructive change mode is mainly associated with second-order change. First-order change, or continuous change (Weick & Quinn, 1999), occurs within a stable framework or method of operating that it itself remains unchanged (Bartunek & Moch, 1987). In other words, first-order change involves attempts to alter an organization's internal practices and missions without questioning its integrity and existence (Denis, Lamothe & Langley, 2001). For instance, if there is agreement that participation of organizational members during the decision-making is valuable, the first-order change may result in increased skills in participative decision making process (Bartunek & Moch, 1994). Arguing that first-order changes have not received enough attention in empirical research, Fox-Wolfgramm, Boal and Hunt (1998) examined organizational adaptation to institutional change in two banks with different strategic orientations. Applying a multilevel analysis approach, they investigated patterns of change in the banks over a seven-year period. Findings revealed both incremental and punctuated equilibrium modes of change, although only incremental change was sustained.

Second-order or episodic change (Weick & Quinn, 1999) however, modifies fundamental properties or states of the system (Watzlawick *et al.*, 1974 cited in Meyer *et al.* 1993) and involves events where the nature, existence and boundaries of an organization are questioned (Denis *et al.*, 2001). For example, in this type of change, the understanding of a concept, such as participation in decision making, might change (Bartunek & Moch, 1994).

With reference to pluralistic organizations, Denis *et al.* (2001) studied the dynamics of collective leadership and strategic change. Their research design involved a replicated case study method. First, they developed a process theory related to the dynamics of collective leadership in case of the first-order change in three hospitals. Afterwards, they tested this theory in a case of the second-order change in a hospital that was subject to a merger process. Their findings indicated sporadic change that was affected by the

leaders' actions and effects of these actions on the leaders' political positions.

Gioia, Thomas, Clark and Chittipeddi (1994) defined strategic change as involving either a redefinition of organizational mission and purpose or a shift in organizational goals and priorities to reflect new emphases or direction. They report having found this kind of change accompanied by significant changes in patterns of resource allocation and/or alterations in organizational structures and processes to meet changing environmental demands. In a similar vein, Tushman and Romanelli (1985) argued that this degree of change, i.e. simultaneous shifts of strategy, structures and processes, constitutes a profound discontinuity in the life of the organization.

Meyer *et al.* (1993) examined the nature of second-order organizational change in hyper-turbulent environments. By describing environmental conditions ranging from steady state to hyper-turbulence, they investigated causal processes operating over time and across different levels of analysis. Their observations revealed that hyper-turbulence is survivable, and can offer a unique opportunity for collective action.

Bartunek (1984) chronicled a case study of a decision to restructure. She studied a religious order in five US districts, whose interpretive schemes were undergoing second-order change. This change in interpretive schemes was manifested by a shift in interpretation of the educational mission of the religious order – from a unified pedagogical approach in the order's schools world-wide to an approach allowing for different ways to carry an educational activity as long as it was inseparable from the core activity – that of work for justice (Bartunek, 1984). Her findings indicated that major changes in interpretive schemes occur through dialectical processes in which old and new ways of understanding interact, resulting in synthesis. The process of change in interpretive schemes is in a reciprocal relationship with changes in structure. This relationship is mediated by the actions of organizational members and their emotional reactions to change. Environmental forces are likely to initiate change, but the way the environment is interpreted by the organizational members affects the type of change. The way organizational leadership initiates or responds to the modification of interpretive schemes limits the type of change in understanding that can occur.

In addition to first- and second-order change, third-order change has been defined in the literature, although empirical evidence is rather scarce. Third-order change involves “the transformation of the very identity of the organization - the form of ownership and the constitutive rules that have historically defined it as an organization” (Tsoukas & Papoulias, 2005: 81).

Third-order change is designed to give organization members the opportunity to transcend schemata (Bartunek & Moch, 1994: 24), which guide the process by which *individual* organizational members give meaning to events (Bartunek & Moch, 1987: 486). For instance, initiating third-order change in an organization will mean that an organizational consultant needs to help organizational members develop the ability to determine for themselves when second-order change is required and then help them implement it (Bartunek & Moch, 1987: 487). As a result, Bartunek and Moch (1994) modeled a process of third-order change as one in which: a) change agents must initiate a series of second-order changes; b) change agents must be responsive to difficult feelings; and c) outcomes are based on the experience of those undergoing third-order change.

Tsoukas and Papoulias (2005) studied the management of third-order organizational change in 'state-political' firms. They define these firms as companies, in the legal sense of the term, with the following characteristics: monopolies in their markets performing broader 'social functions' (as opposed to following a narrowly business-driven mission); their management is closer to administration than to what is generally understood today as 'professional management'; and they have historically been part of a state-dominated political system, affording politicians the power of systematic patronage and direct meddling into company affairs (pp. 80). The findings of the study indicate that the management of change needs to be context sensitive, meaning that organizational change should be seen as "the unfolding of situated processes within organizations which are constituted by the wider institutional context within which they historically operate" (pp. 92). Therefore, to understand the management of organizational change, Tsoukas and Papoulias (2005) claimed that organizations must be situated in the broader institutional context.

Examples of organizations undergoing third-order change are found in reform programs intending to open up and liberalize markets, privatize state-owned monopolies and drastically restructure public sector organizations, with remaining few institutional elements of the 'old order' (Tsoukas & Papoulias, 2005). But the old order will continue to exercise its grip on the "people's frame of mind and social habits" that "deliberate short-term action cannot easily alter" (Tsoukas & Papoulias, 2005: 81-82). This kind of change transforms both the organization in question and the institutional environment that hosts the organization – it is a part of a broader political project to modernize a country's institutions and requires highly symbolic management (Tsoukas & Papoulias, 2005).

These and similar studies indicate the importance of distinguishing between first-, second-, and third-order change. Some change is planned and some is

the by-product of an organizational effort to bring about change. Thus, even though some studies are designed to examine a certain type of change, dialectical process of change development may lead to unexpected change types.

4.1.3 Defining Organizational Change during Institutional Upheaval

Typologies of organizational change provide a systematic approach with which to develop assumptions about characteristics of organizational change during institutional upheaval. On the basis of these typologies, three assumptions about the organizational change during institutional upheaval are made.

First, there are several reasons for suggesting that organizational change occurring during institutional upheaval is both episodic (i.e. radical) and continuous (i.e. evolutionary). Radical change is indicated by a weak institutional context characterized by the absence of a core set of actors that could reinforce and sustain organizational practices over time across the organization (Erakovic & Powell, 2006). However, organizational research in post-socialist environments has found both types of evidence: facts supporting the notion that radical organizational change is prevailing (Newman & Nollen, 1998), as well as claims that evolutionary changes provided adjustments in such environments (Soulsby & Clark, 2007). In an attempt to account for both episodic and continuous change, this study adopted Langley and Denis' (2006) situated view of change.

Second, and interrelated to the first, the punctuated equilibrium model of change is often used in describing organizational transitions in cases of radical change. However, if change is characterized by periods of both episodic and continuous change, then the punctuated equilibrium model does not seem to capture organizational action and change in phases before and after the punctuation. Indeed, organizational change during institutional upheaval is characterized by a power vacuum (Soulsby & Clark, 2007) that opens an opportunity for continuous change. Therefore, the phases of stasis and after-punctuation stage (i.e. equilibrium stages) may be also representative of a continuous process of adaptation, or continuous change, not merely of inertia as predicted by the punctuated equilibrium model.

Third, organizational change during institutional upheaval can be seen as a dual-motor change. In a situation of institutional upheaval it is important to pay attention to individual action and the conflicting interests of individuals (Soulsby & Clark, 2007). Therefore, it is necessary to pay attention to the various levels of analysis (individual and organization) as well as to how

goals and intentions for action are formulated (prescribed or constructed). This duality is accounted for by adopting a dual-motor change model.

After providing assumptions on characteristics of the organizational change during institutional upheaval, arguments for the three factors' interpretive framework are outlined. This framework will be utilized for the data analysis in Chapters 7 and 8.

4.2 Where are we now? Arguments for Three Factors' Interpretive Framework

Three sets of factors earlier described (see Chapter 3) are suggested in developing an interpretive framework of organizational change during institutional upheaval: pattern of change, ambiguity and coordination. The first set of factors (pattern of change) is interrelated to the direction of change. The two additional sets of factors (ambiguity and coordination) are interrelated to facilitators of change. This interpretive framework will be utilized to analyze data. The following sections offer arguments for the selection of these sets of factors.

4.2.1 Pattern of change matters

Change interventions are considered to be situated within an existing organizational context, in which particular patterns of behavior are produced over time (Langley & Denis, 2006). Thus one way to look at organizational change during institutional upheaval is to utilize the theory of strategic organizational design change with its notions of archetypes and organizational tracks. There are three main reasons for this.

First, this theory accounts for endpoints of change by establishing empirically observed 'departure' and 'desired' organizing templates or archetypes. Newman (2000: 607) argued that archetypes can not be used in establishing the end point of change in the face of institutional upheaval, since alternatives for change are not known. This is plausible to the extent that Newman's study addressed business companies experiencing institutional upheaval. However, in case of higher education institutions the organizing templates are captured by the organizational plans and documents produced on the basis of the reform blueprints or by the understanding of what an institution of higher education *is* or *should be*. For instance, in attempting to create the European Higher Education Area (EHEA), documents such as Bologna Declaration are used as a legal reform source. Therefore, the creation of the 'desired' archetype may involve elements of the 'progressive' Higher Education Laws, as well as the Bologna Declaration seen as valuable reform blueprints (Miclea, 2003). In addition, not all change plans are successfully implemented. Rather, most become revised during

implementation, and new reforms take place before the old ones are fully complete (Brunsson & Olsen, 1997). It is expected that the desired archetypes will have merely symbolic values by providing a direction for change. As Hinings and Greenwood have suggested:

Our theory suggests that the particular design archetype (or lack of one) has an important effect on subsequent change. This will be even more so if there is a contextual change which requires evaluation by organizational members and which potentially challenges existing interpretive schemes.

(Hinings and Greenwood, 1988: 119)

Second, when an organization initiates changes on several parallel fronts, we could speak of organizational reorientation aiming at radical change. Many initiatives introduced in relatively short time periods contribute to building a momentum that is aimed at ‘moving’ the organization between archetypes (Hinings & Greenwood, 1988) - the archetypes being determinants of organizational change’s endpoints. In this way, three types of *outcomes* are likely to happen:

a) The introduction of numerous strategic initiatives (Hinings & Greenwood, 1988; Langley & Denis, 2006), which implies that a great deal of change (not necessarily transformative) might be observed (Newman, 2000: 605) - something that is characteristic of professional bureaucracies’ change strategies (Mintzberg, 1993);

b) An alteration of organizational structures during a radical change process (Ranson *et al.* 1980) that, in cases where structures cannot be changed significantly, may imply the development of additional layers of organizational structure, e.g., ‘problem-organization–problem-more organization’ - something that is characteristic of bureaucracies (Blau & Meyer, 1987). A process can simultaneously follow a path of continuity, whereby path dependence reproduces organization structures (Soulsby & Clark, 2007: 1430);

c) The imitation *either* of other similar organizations in order to gain legitimacy (Meyer & Rowan, 1977), since it has been claimed that structures are altered because of the symbolic appropriateness (Ranson *et al.* 1980); *or* of ‘successful’ organizations that then become role models (Sahlin-Anderson, 1996) for organizations that experience an identity crisis – in such a case, organizations point towards their ‘problems’ by identifying the difference between the existing model and the desired model (Sevon, 1996). In a weak institutional context, the imitative, mimetic processes shaping organizational forms and routines are stronger than normative ones (Chiaburu, 2006). As Chiaburu and Chiaburu (2003) suggested, educational organizations in transition economies will use an efficient imitation strategy as a function of low embeddedness in the previous system (in a weak institutional context) and a low capacity for change. Similarly, Soulsby and

Clark (2007) commented that imitation is the one of three ideal-typical patterns of organizational change in the post-socialist SOEs. Figure 4.2 summarizes the interpretive framework for the three types of outcomes.

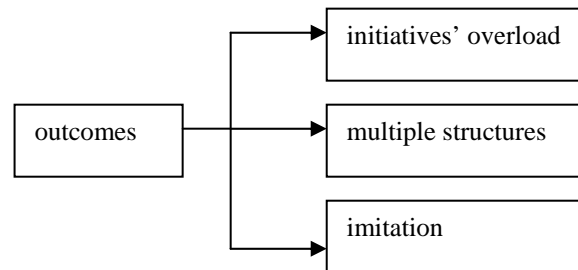


Figure 4.2 Outcomes of organizational change process

In addition, different initiatives, multiple structures and imitation can be classified as symbolic, substantive or institutional type of outcomes, depending on how certain initiatives develop (or not). Accordingly, this study partly adopts Denis *et al.*'s (1996) suggestion on different types of change outcomes, who suggested symbolic, substantive and political outcomes of the archetype change. Symbolic change outcomes are changes in the interpretive schemes, whereas substantive are changes in structures. The difference is in institutional, instead of political, outcomes. This is plausible due to different units of analysis and research inquiries between the present study and the study of Denis *et al.* (1996), who were looking at evolution of leadership roles and effects of the power distribution during the strategic change. On contrary, the present study assumes that the organizational change matters in a weak institutional context.

Finally, the strategic organization design theory accounts for the interaction of organizational context and intra-organizational processes, which is of crucial importance to the present study. Internal and external pressures can propel change in organizations. However, the way organizational actors translate and respond to contextual pressures for change explains how organizational responses are determined (Greenwood and Hinings, 1996). Similarly, Erakovic and Powell (2006: 34) suggested that preceding conditions (organizational past experience and existing relationships with other organizations) and prevailing behavior (strategic choice about future objectives) can influence and direct organizational responses in times of significant transitions. This suggests it is not possible to explain how or why organizations respond to change without understanding the intra-organizational dynamics. Bringing this issue of intra-organizational dynamics into focus, the following two sections aim at offering an

understanding of intra-organizational dynamics, i.e. factors that facilitate change.

4.2.2 Ambiguity matters

The post-socialist period represents a time of ‘societal transformation’ in which the process of change is characterized by uncertainty and ambiguity (Soulsby & Clark, 2007: 1427). This study makes a distinction between ambiguity and uncertainty, even though a number of studies consider these two concepts as similar or even equivalent. For instance, Kahn *et al.*’s (1964) definition of role ambiguity does not seem to capture the real essence of ambiguity, but rather that of uncertainty. In addition, Martin and Meyerson (1988) refer to uncertainty as one of three types of ambiguity. Moreover, in reviewing the concept of ambiguity, Bess (2006) also does not make a clear difference between ambiguity and uncertainty. Such and similar examples from past theorizing indicate that boundaries between concepts of ambiguity and uncertainty are blurred, and that there is a lack of conceptual consensus on ambiguity. This ‘ambiguity of the term ambiguity’ is emphasized by Weick (1995). He distinguishes between ambiguity and uncertainty as two occasions for sense-making. The notion of ambiguity refers to “an ongoing stream that supports several different interpretations at the same time” (Weick, 1995: 91), whereas uncertainty refers to “an individual’s perceived inability to predict something accurately” (Milliken, 1987: 136). By assuming that uncertainty is unavoidable in situations of institutional upheaval, this study focuses on the concept of ambiguity. This further focus mainly on ambiguity is expected to reveal some nuances that otherwise would not be possible to account for by focusing only on uncertainties.

Several ambiguities may prevail during the process of organizational change during institutional upheaval. *First*, there is ambiguity of intention. Environmental factors and pressures will increase the dilemma of organizational members regarding what to do and what choices to make. This can be even more evident in situations where organizational members are forced to look for solutions outside their weak institutional environment. *Second*, there is ambiguity of purpose. Ambiguity represents a specific organizational condition, as discussed by Olsen:

An organization is not simply a vehicle for solving given problems or for resolving conflict through bargaining. It is also a collection of choices looking for problems; issues and feelings looking for decision-in-process through which they can be mediated; and solutions looking for questions. An organization is not only one instrument, with decision processes related to instrumental, task-directed activities. It is also a set of procedures by which participants

arrive at an interpretation of what they (and others) are doing, and who they are. This view of an organization as a mixture of issues, activities, feelings, and choices, each generated in part from extraneous factors, makes every choice opportunity an ambiguous stimulus. What is being decided is itself to be determined through the course of deciding it.

(Olsen, 1976: 84-85)

Thus a decision made will depend on the way the decision-making process unfolds in an organization, and many factors may influence such a process, which is not necessarily rational or intentional. This ambiguity of purpose is seen as corresponding to structural ambiguity (Bess, 2006), meaning that roles and responsibilities are not clearly defined in the existing 'authority system'. *Third*, ambiguity in organizations must be addressed at both structural and cultural levels (Bess, 2006). Therefore, there is also cultural ambiguity, which can be considered as incorporating both subjective and objective role ambiguity (Kahn *et al.*, 1964). It is suggested that organizational members will have a number of competing views on issues under discussion and about what decisions should be taken. This is interrelated with ambiguity of purpose and intention. For instance, in his study of Polish managers, Kostera (1995) identified a shift from 'political' to 'economic' orientation, which suggested the co-existence of differing managerial rationalities and identities with an ambivalent, post-socialist, business world.

Ambiguity can also be considered as contributing to the level of incongruence in an organization: on the one hand, there is a strong administrative heritage influenced by organizational existing values (Barlett & Ghoshal, 1989) and, on the other, there are external pressures calling for action. As Hinings and Greenwood (1988) have claimed, organizations can be "conceptualized as having inherent tensions because of their basis in a variety of different interest groups, the processes of structural legitimation and their relationship to a problematic environment" (pp. 119). The level of incongruence is maintained by an ambiguous environment, short attention spans and human tolerance for inconsistency (Bem, 1970 cited in March & Olsen, 1976: 64). In addition, as suggested by Martin and Meyerson (1988), sources of ambiguity can be various ranging from unclear expectations and preferences at an individual level to loosely coupled actions and outcomes at an organizational level. As a result, ambiguity may be triggered by a weak institutional context, organizational properties (capability for action and resources available) and competing understandings that exist within the organization. Figure 4.3 summarizes the argument on factors that may cause ambiguous situations, and will be used as an interpretive framework for data analysis.

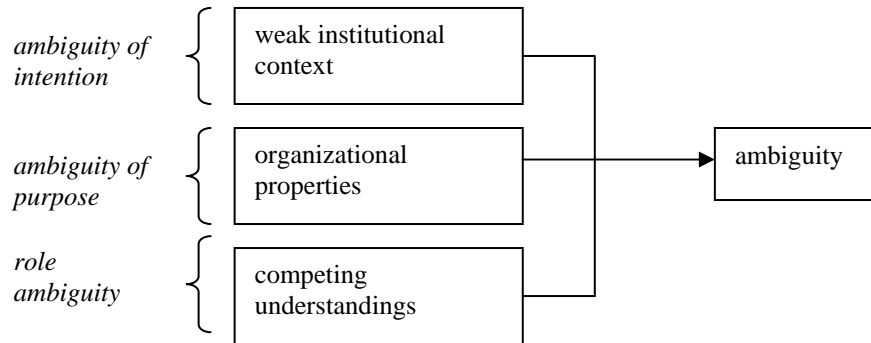


Figure 4.3 Conditions: Triggers of ambiguity

If a necessary precondition for change is actors' perception of the changed environment and the need for change (Pfeffer, 1981; Powell *et al.* 1999), then competing understandings indicate room for action, due to the weak institutionalization context. In a similar vein, Hollinshead and Maclean (2007) claimed that different stakeholders in organizational transition contribute to various interpretations and versions of events. This suggests that strategically ambiguous plans and mission statements are interpreted by various constituencies. Viewed in such a way, ambiguity then represents an occasion for action, or for the coordination of action.

4.2.3 Coordination matters

What kind of action is performed by organizational members during institutional upheaval? Kimberly and Quinn (1984: 232) suggested that the first step in any change process is the creation of a recognized need for change by the people "whose energy is required for change to happen". In other words, it is up to individuals holding significant power in the organization, usually based on resource dependency, to determine the direction for change (Greenwood & Hinings, 1996). Such views also suggest that mere power itself will not bring about change; but that individuals must be empowered to act to change the organization. In a time of institutional upheaval, such powerful individuals need to be creative: "an institutional or power vacuum lasted several years and left a weakly regulated social space, in which 'creative' and/or unscrupulous actors could make change happen to suit their interests" (Soulsby & Clark, 2007: 1431).

Change interventions, as suggested by Langley and Denis (2006: 149) can only be implemented by some form of navigation through the very power structures and organizational arrangements that are expected to be transformed. The first precondition for change, therefore, would seem to be the organization's need for legitimacy. This need for legitimacy may alter

the values and interests of key organizational actors and in turn lead to an organizational change (Greenwood & Hinings, 1996). Altering of the values and interests of the key organizational actors may be understood as the process of sense-making, which involves the “construction of meaning and reconstruction of the involved parties as they attempted to understand a nature of change” (Gioia & Chittipeddi, 1991: 422). Indeed, past research in non-stable environments has demonstrated the role of management in making sense of an organization’s environment (De Holan & Phillips, 2002; Soulsby & Clark, 2007).

The second precondition for change would be the ability of powerful organizational members to infuse value in the new activity or rule (Boons and Strannegard, 2000). In so doing, the organizational elite will engage in political action in order to maximize their influence and form political alignments in order to establish network coalitions to support their political action (Lawler & Bacharach, 1983: 85). Thompson (1967: 142) emphasized a role of influential individuals who can ‘cast the long shadow’ over an organization which has widely dispersed power. He continued by proposing that such individuals can manage the coalition, and that they are therefore ‘superb politicians’. There are several ways for maintaining influence in organizations: agenda-setting (Pfeffer, 1981), coalition-building (Pfeffer, 1981), symbolic management (Pfeffer, 1981), exchange (Cohen & March, 1986; Pfeffer, 1981), overloading the system (Cohen & March, 1986). As a result, organizational tactics also refer to actions of the organizational members to influence the course of events (Denis *et al.* 1996). This process may be understood as sense-giving, and as such deals with attempts “to influence sense-making and meaning construction of others towards a preferred redefinition of organizational reality” (Gioia & Chittipeddi, 1991: 422). This organizational reality refers to Orton’s (1996) notion of ‘workable reality’. Indeed, workable realities are defined as “products of organizational sense-making” and a “temporary perceived correspondence of multiple agendas and interpretations” (Orton, 1996). These definitions suggest that workable realities emerge in a social context and are built through compromise. In other words, workable realities are ‘selected’ as a course of action of an organization among a number of other options.

Based on the two above mentioned preconditions, it is plausible to assume that coordination of action is performed by influential individuals, such as management and leadership teams. What are the mechanisms of facilitating change, i.e. sense-making and sense-giving?

First, it is important to note that strategic leadership is particularly intriguing in situations of ‘ambiguity’ or ‘organized anarchy’ where the traditional power of the hierarchy is limited, and where goals and technologies are

unclear (Denis *et al.*, 1996: 673). Indeed, Cohen and March (1986: 37) have argued that bureaucratic or political leadership would be inefficient in an organized anarchy, since all the characteristics of an organized anarchy stand as major restrictions to the capacity of action of any leader. Mintzberg (1993) draws our attention to a specific leadership style of professional bureaucracy, which is characterized by strategic initiatives, a bottom-up approach, and an incremental introduction of change. Under this style of leadership, organizational members' commitment to change should eventually increase. In addition, Clark (1972) emphasizes that leadership in universities is relatively weak, except in uncommon crisis situations when guidance is needed or when new organizations are to be created. Therefore, the first mechanism of coordination of action is related to the level of engagement of university management in initiating bottom-up change. One way to initiate such change is to question existing organizational purposes.

Ambiguities can produce arguments about organizational purpose, which in turn may help to 'redefine institutional purpose' and 'enhance individual commitment' (Bess, 2006). As already emphasized, strategically ambiguous multiple statements facilitate the coordination of action among organizational constituencies (Contractor & Ehrlich, 1993). In such situations, coordination by idea (Gulick, 1937) seems to be the most appealing. Here the 'idea' might have several meanings, and the concept of commitment is widely used to express a varied assortment of ideas (Becker, 1960). This concept is used to explain the 'consistent behavior' of individuals and organizations (Becker, 1960). For organizations that are about to introduce a change, commitment building is of major importance (Hinings & Greenwood, 1988). This would suggest that an organization is engaged in building 'consistent behavior', or identifying with organizational goals and values (Mowday, Steers, & Porter, 1979). Becker (1960) distinguishes between two situations: 'made a commitment' and 'being committed'. The former relates to commitment building; the latter relates to the situation after the commitment is made. Therefore, for the organizations already on a change track, it will be important to remain committed. In such a case, an alternative would be to build their image, since the image may be a driver of organizational change in general and organizational identity change in particular (Dutton & Dukerich, 1991; Gioia, Schultz & Corley, 2000). The way organizational members perceive how others 'see' their organization will also determine the level of commitment for change. As Gioia and Thomas (1996) have noted, image building became a critical strategic issue for higher education institutions when responding to a changing environment.

Second, besides an articulated alternative organizational form, the leadership and power structure allow alternatives to be expressed in arenas that matter

and contribute to a movement away from an archetype (Greenwood & Hinings, 1996: 1045). In the short term, organizational members, and especially senior managers, choose which constraints and pressures to respond to and which design options to develop (Hinings & Greenwood, 1988: 49). This implies a level of organizational improvisation, which has been defined in the literature in several ways (see Table 4.1).

Table 4.1 Definitions of organizational improvisation

| Definition | Author(s) |
|--|----------------|
| “intuition guiding action upon something in a spontaneous but historically contextualized way” (pp. 5) | Hatch (1997) |
| “an activity which requires no preparation and obeys no rules” (pp. 65) | Mangham (1986) |
| “to be composed while performed” (pp. 51) | Perry (1991) |
| “a just-in-time strategy” (pp. 229) | Weick (1987) |
| “improvisation implies attention rather than intention drives the process of designing” (pp. 351) | Weick (1993b) |
| “thinking and doing unfolds simultaneously” (pp. 19) | Weick (1996) |

In addition, some improvisations may represent a radical innovative activity, while others may involve only modest shifts from previous behavior (Weick, 1993a). Moreover, improvisation finds a reference point in “an underlying formal scheme or guiding image” (Pressing, 1984: 346). Therefore, depending on the existing organizational structure, improvisation would be achieved either by an idea or by some temporary restructuring within the organization.

Third, a high degree of organizational capacity is needed for an organization to move between archetypes. This initial movement toward a new archetype needs to be consolidated, and is achieved by encouraging a commitment to change and with a gradual tightening of the power structure (Hinings & Greenwood, 1988). Therefore, consolidation of the efforts made by either commitment building, image building or improvising is required. Chisholm (1989) refers to this consolidation as a matter of centralization: “where a need for coordination is perceived, the reflexive response is centralization” (pp. 13). Thus, consolidation in loosely coupled organizations may be accomplished through the introduction of more formal measures of coordination, in order to manage or control organizational efforts for change better. Recognition of poor organizational capabilities and resources provides room for consolidation.

Figure 4.4 summarizes the above mentioned argument for the mechanisms of coordination of action. It will be also used as an interpretive framework for subsequent data analysis.

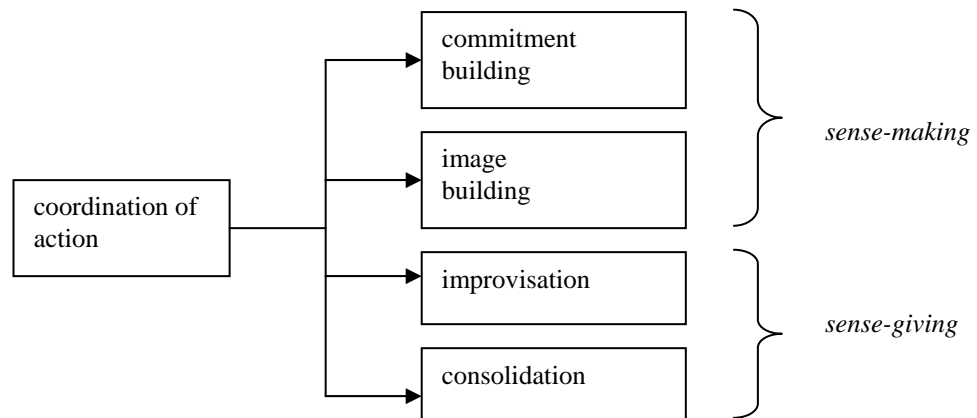


Figure 4.4 Coordination of action

As suggested here, the processes of sense-making and sense-giving are associated with the actions undertaken by the management teams to introduce change. The combination of sense-making and sense-giving indicates a room for micro-politics in organizations. For instance, Clark (2004) described strategic management as a socio-political sense-making. He used the socio-political sense-making framework to compensate for ‘subjectivist-voluntaristic tendencies’ of sense-making (Clark, 2004: 608). His findings indicated that strategic management incorporates actions such as managing coalitions, building coalitions with the outside world and making ‘wild’ choices (i.e. ignoring, resisting or deviating) with regard to the expected behavior.

After arguing for the three factors as addressing the direction of change (pattern of change), as well as being facilitators of change (ambiguity and coordination), the subsequent section will present the conceptual model to be utilized for the discussion of findings.

4.3 Where do we go from here? Conceptual Model of Organizational Change during Institutional Upheaval

The model developed in this study takes as a point of departure attention to characteristics of the ‘situated’ change (see section 4.1.3), as well as to the issues of: change initiatives and their outcomes (see Figure 4.2); beginning of such initiatives that happen under conditions of ambiguity of purpose, ambiguity of intention, and role ambiguity (see Figure 4.3); and direction-

finding in crisis situations that later translates into coordination of action (see Figure 4.4). In what follows, dimensions of the organizational change process during institutional upheaval are outlined by looking at the frequency of initiatives undertaken and how they are coordinated. Next, reflecting upon these dimensions will pave the way for a dual-motor understanding of the organizational change during institutional upheaval.

4.3.1 Dimensions of the organizational change

A reform, or major change, can be seen as a prescribed framework on the macro level - articulating overall goals with reference to a number of declarations and agreements. In real life situations, this prescribed framework needs further specification, since an ambiguous endpoint represents an ill-structured problem (Simon, 1973). The concept of 'situated change' suggests that major disturbances to the established organizational system (e.g. merger or new leader) will be followed by continuous small changes (Langley & Denis, 2006). Such major change interventions may cause other changes even when organizations are facing ambiguous reforms. This would suggest that redesigning an ill-structured problem into small(er) well-structured problems may encourage the initiation of many changes in the organization.

The ill-structured problems, or super-goals (March, 1976), in combination with a lack of organizational capacity for change, may result in organizations spending significant periods of time in 'states of incompatibility' or 'schizoid incoherence' suggesting that there are numerous possible directions to be taken (Hinings & Greenwood, 1988). Indeed, some authors have argued that organizations are in a constant condition of 'schizoid incoherence' (Dhillon & Orton, 2001). An organization that follows this path would said to be in an oscillation phase, whereby many change initiatives are attempts to find solutions to problems that have emerged in response to change resulting from an earlier, larger challenge. This emphasis on many unpredicted and unplanned change initiatives' outcomes is brought about by dimensions of the situated change as being disintegrative, dynamic, endogenous and asymmetric (Langley & Denis, 2006).

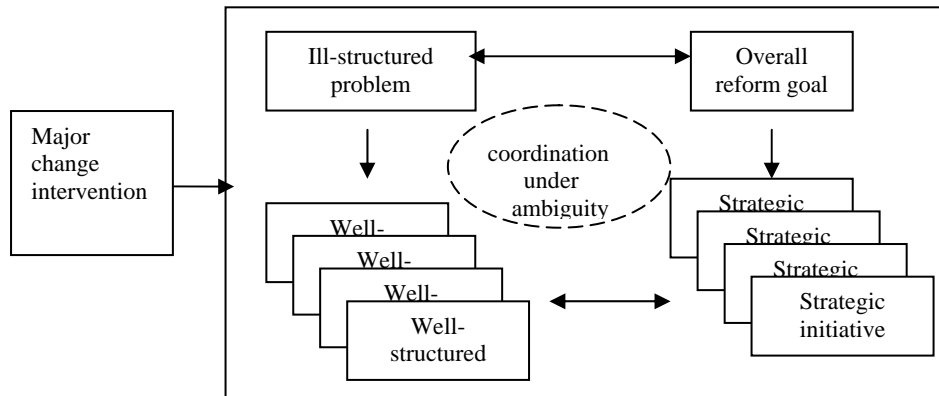


Figure 4.5 Coordination under ambiguity

Histories of change initiatives represent empirical evidence of changes being triggered in this way. In such a case, coordination of action is required and takes place under conditions of ambiguity (see Figure 4.5).

4.3.2 Dual-motor organizational change process

If we follow Tsoukas and Papoulias' (2005) suggestion that when investigating organizational change it is important to be sensitive to the context of change, then it is necessary to ask, what is characteristic of organizational behavior during institutional upheaval? One answer is offered by Orton (1996), who argues that in non-stable environments, possible ways to take (i.e. 'workable realities') are shaped by environmental jolts. For example, in his study of organizational responses to environmental jolt, which included looking at three hospitals faced with an anesthesiologists' strike, Meyer (1982) found that the three hospitals all developed different responses. One explanation may be that the hospitals had different workable realities, which were reshaped in different ways by the environmental jolt (Orton, 1996).

This would suggest that any kind of non-stable environments (e.g. societal transience, institutional upheaval or institutional collapse) may produce (various) workable realities. One reason may be that intense environmental ambiguity reduces confidence in making new decisions, as well as allows managers the discretion to attribute 'rationality' in diverse ways (Soulsby & Clark, 2007: 1430). Once created, workable realities allow a reorganizing package to be established (Orton, 1996). Reorganizing packages are sets of reorganizing initiatives – proposals to change formal relationships between

individuals, groups, or organizations – which are presented together as organizational redesigns (Orton, 1996).

Similarly, De Holan and Phillips (2002) found interdependent managerial processes that dealt with non-stable Cuban's institutional contexts: top management's sense-making, organizational restructuring, and managing the inter-organizational ceremonial front (i.e. organizational image). The sense-making process at top management level corresponds to defining workable realities, whereas managerial processes at the intra-organizational (i.e. changes in structure, human resource management and organizational culture) would correspond to reorganization packages.

By 'translating' the above mentioned assumptions of organizational behavior during institutional upheaval into the dual-motor perspective of organizational change, the conceptual model that will underpin this study can be developed. This model employs a dual-motor perspective (see Figure 4.6), since it has been argued that such approach may offer greater explanatory power when there are different levels of analysis – individual and organizational (Cule & Robey, 2004). The model is built on two assumptions. The first is that change is driven by the actions of influential individuals. This would suggest a teleological view of change interrelated with the actions of influential individuals that have the knowledge to define 'workable realities' (Orton, 1996). This assumption is in line with arguments of 'pattern of change matters' and 'coordination matters'. In such a case, coordination will be utilized to 'formulate the purpose' and to 'formulate the intention' – or in other words, to formulate 'reorganization packages' (Orton, 1996). Such an approach will tend to build a momentum for change and put the organization 'on the move' aspiring to achieve a 'desired' archetype.

However, a goal-directed theory of change offers only a simplistic view of change in pluralistic organizations, which comprise many organizational members having their own goals and interests. Therefore, a dialectical mechanism has also to be incorporated into the model, suggesting there will be conflicting goals that may produce organizational change. This assumption is in line with the argument of 'ambiguity matters' in the collective arenas of decision- and sense-making. Thus, emergence of multiple interpretations will be a context for action.

Based on the discussion above, a dual-motor approach to studying organizational change is expected to offer a better explanation of the process of organizational change during institutional upheaval.

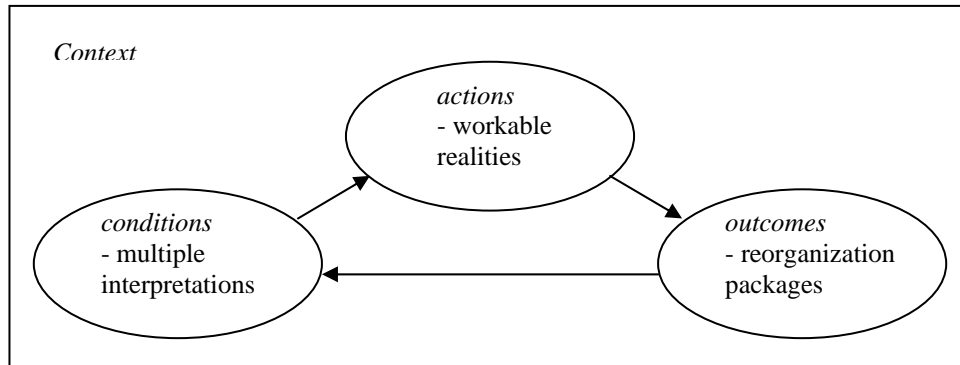


Figure 4.6 Organizational change process: conceptual model

This dual-motor view of change is also supported by Langley and Denis's (2006) claims that "[a]ctions related to organizational change initiatives may generate short and long term effects that in turn alter the context for ongoing and future change in a never-ending cycle that can lead in quite unexpected directions" (pp. 146). These short and long term effects equate to the notion of change outcomes (symbolic, substantive and institutional) in this study.

4.4 Summary

This chapter aimed at defining the characteristics of organizational change during institutional upheaval, developing the interpretive framework for data analysis and developing the conceptual model for data discussion. The organizational change during institutional upheaval is considered as a situated change, implying both episodic and continuous changes. In addition, it is considered that the typologies of patterns of change will increase the understanding of directions of change. Moreover, conditions under which the change process takes place, and the actions of influential actors are considered as facilitators of the change process. Influential actors are assumed to engage in processes of sense-making and sense-giving in defining workable realities and in 'helping' an organization to move between archetypes. As a result, an organization will embark upon one or more change tracks depending on the organizational starting point with regard to existing structures and resources, organizational capacity for change, and organizational ability to mobilize available resources. Dual-motor change process is constructed in order to understand the organizational change during institutional upheaval.

5. Research Methods

This chapter provides a close insight into the research process underpinning this work. It begins by discussing the case study research strategy and implications of conducting the process research. Then the chapter presents methods for data collection, qualitative software for data management, and ways in which data analysis is conducted. The final section addresses the research quality criteria employed.

5.1 Case study research strategy

Case study research strategy is chosen due to two reasons: a) allowing for iterative nature of the research process in establishing a relationship between the existing literature and empirical data, and b) prioritizing the setting and its influence on the phenomenon studied. The account that follows addresses these two reasons in more details.

First, this study was a function of both inductive and deductive analyses. Case study research strategy allows for prior conceptual categories (Miles & Huberman, 1994; Yin, 1994) and relationships among categories (Yin, 1994). For instance, the theoretical basis of this study was only partly developed when the research commenced, and theory building became closely intertwined with data collection. Rather than beginning with a perspective, as Glaser and Strauss (1967: 3) suggest, this study begins with more extensive deductive drivers (Pettigrew, 1997: 343). These drivers are presented not in the form of propositions or hypotheses, but in the form of research purposes, themes and questions (Pettigrew, 1997: 343). Thus the conceptual framework is utilized as a tentative theory of a prior research within the field of the studied phenomena (Maxwell, 1996: 25) to illuminate relationships among the number of concepts. As a result, this study utilized theories deemed most useful for understanding the research problem under investigation. They have also been used as the basis for generating a series of broader theoretical statements about issues of organizational change. These statements guided the development of initial interview protocols, the initial collection of supporting documentation, and decisions on what aspects of the change would be best to observe in greater depth (Strauss & Corbin, 1990).

On the other hand, empirical evidence provided the basis for an elaborated theoretical framework. For instance, the research focus was narrowed to change in the context of higher education transition. To support this, two institutions of higher education in Bosnia-Herzegovina (BiH) were examined

to identify the major groups acting as agents of change. This revealed that there were very few groups acting as formal agents of change, and that the Senate played an important role in this respect. Reasons for the initiation of change in higher education organizations (especially for a large number of changes in a relatively short period of time), for introducing initiatives, and the fate of these initiatives, were also examined. From all this a model of conditions for change (ambiguity) and actions for change (coordination) within higher education organizations emerged. The purpose of such approach was to develop a conceptual model of organizational change in the dramatically changing environment.

As the study proceeded, a similar process to that outlined by Meyer *et al.* (1993: 68), whereby concepts and research methods were constantly rethought and updated following analyses and findings, was followed. Similarly, Hinings and Greenwood (1988: 99) argued that researcher has to modify theoretical frameworks during the life of the project. It has been recognized that the conventional research cycle – conceptualize, design, measure, analyze and report – does not hold very well in hyperturbulent environments (Chiaburu, 2006: 744). This ‘iterative approach’ (Orton, 1997) is considered as flexible research design, since “numerous trade-offs are required” in order to “learn about variety of ways in which organizational designs, contexts and leaders can affect how and when different types of change occur” (Glick *et al.*, 1990: 310). Clark (2004) provides his interpretation of iterative approach after deductive sensitizing has taken place:

First, a context-action framework (Pettigrew, 1987) was developed in order to ‘sensitize’ fieldwork by guiding attention towards the relationships between the external organizational environment and organizational responses to it. From this point, the iterative process began. The one interview or examination of organizational document would develop hunches and inform the conduct of the next interview. Then, the latter one would confirm, contest or elaborate those hunches. While the interviews and other raw data were considered as first- order data, possible explanations developed during the iterativity of the process produced second-order data, i.e. theoretical constructs. These theoretical constructs evolved by consulting the existing literature. From these materials, it was possible to draw illustrative narratives and interviewees’ quotations to describe events and support more detailed theorizing.

(Clark, 2004: 609)

Strength of iterative design is to foster the development of a richer theoretical framework by using deductive and inductive logic iteratively (Denis *et al.*, 2001). Therefore, the research approach described above

indicated an iterative nature of the research design as it took place in this study.

Second, and interrelated to the first, this study is focused on prioritizing the setting and its influence on the phenomenon of organizational change studied. This study has taken a qualitative approach, the strength of which is seen as “understanding the processes by which phenomena take place” (Maxwell, 1996: 59). A focus was placed on understanding the particular physical and social context and the way it impacts on organizational action (Maxwell 1996). This implies that in order to analyze organizational change during institutional upheaval, a method had to be developed that could handle the simultaneous presence of phenomena with opposite signs (e.g. tension and interaction between the individuals, organizational constraints, the difference between individual and collective action in organization, the complementarities of formal and informal relationships). As Abbel (2004) argued, “small-N qualitative studies will, I suspect, continue to find a modest place in our endeavors where the system of interactions under scrutiny is only infrequently (or indeed never) repeated” (pp. 306). Thus, ‘timing’ for studying a phenomenon of organizational change during institutional upheaval was considered convenient, since it is not expected that such opportunity will be available in near future in the research site chosen.

5.2 Conducting process research

In order to understand organizational phenomena at a more than superficial level, the scholarly literature has called for more in-depth process research (Langley 1999). Likewise, in viewing organizational change, Tsoukas and Chia (2002) urged scholars to take process seriously. Conducting process research has some implications for the ontological and epistemological issues, assumptions made, and the analysis of data.

5.2.1 Ontological and epistemological issues

Ontological issues relate to a question of *what reality is* (Smith, 1998). Do, for instance, organization and change exist as concrete entities, or are they a result of subjective creation? Arguing for a more radically process-oriented approach to organizational change, Tsoukas and Chia (2002) do not see change as the property of an organization but an organization as the emergent property of change. Similarly, a shift from ‘change’ to ‘changing’ is argued to account for more dynamic, changeable character of organizational reality (Weick & Quinn, 1999: 382).

This study considers change to be a continual process of becoming, rather than a succession of stable states (Beech & Johnson, 2005; Tsoukas & Chia, 2002). This viewpoint suggests that social reality is not a steady state, but a

dynamic process that occurs, whereby human conduct is in a process of becoming (Pettigrew, 1997: 338). Thus there is a need to observe events and interactions as they unfold over time. Such an approach suggests the dynamic construction, deconstruction and reconstruction of meaning and making sense over time as contextual forces evolve and as organizational restructuring takes place. For instance, in an organization we do not *see* change, but we can examine organizational documents, memos from the meetings, legal chapters that establish that organization, people interacting at the meetings, people performing their roles, and so on. We can take note of people's concerns, and examine their interpretations of a given situation or particular experience. Thus, organizational change in this study is understood to include the accomplishment of doing and knowing something, agency produced artifacts, micro-politics in organizations, as well as making sense and purpose of change efforts.

Epistemological issues relate to the question of *what knowledge is* (Smith, 1998). Viewing the change ontologically as a process also influences how knowledge about these processes can be established. In conducting an empirical examination in organizational science, a researcher can choose among four paradigms: functionalist, interpretive, radical humanist, and radical structuralist (Burrell & Morgan, 1979). For example, when the purpose is to establish theories about universal relationships between parts in the system, the approach chosen would be the functionalist paradigm, whereby the main aim is replication: data should be collected and analyzed in such a way that another scholar would get similar results by applying data collection and analysis under similar conditions. On the other hand, knowledge can be considered as highly personal and local. Such an approach would suggest an interpretivist paradigm, whereby people are taken as acting independently in their lives. There is a variety of the interpretivist approach, ranging from phenomenology, to hermeneutics, to constructivism. However, a departure point for all of them is a focus on how people make meaning of their world. It is here that the main difference between a functionalist and an interpretivist approach is seen.

An interpretive approach is seen as suitable for the investigation of complex and poorly understood phenomena (Dixon *et al.*, 2007), since such approach implies that the researcher's task is to "make sense of local actors' (sense-making) activities" (Soulsby & Clark, 2007: 1426). Thus the important criterion for assessing interpretive data analysis is its ability to provide a reasonable insight into the phenomenon under study in order to gain a deeper understanding. Empirical findings illustrate, rather than validate, the theories they reflect (Astley & Zammuto, 1992). Thus, for an interpretivist, findings need to be: a) representative of the interpretations of those experiencing the

phenomenon under study; and b) a plausible interpretation of the phenomenon.

Given the research inquiry's design and setting, it was natural that this study falls into the interpretivists paradigm. Within this paradigm, multiple realities can exist around a single phenomenon, because those involved have different interpretations of it. As Astley and Zammuto (1992) emphasized "the interpretive structure provided by conceptual language determines what the scientist will 'discover' about the phenomenon being researched and so realizes only one interpretation within a wider set of possible theoretical accounts" (pp. 448). It is, therefore, the researcher's responsibility to gather and understand these different interpretations and to develop their own interpretation of the phenomenon that makes sense to the interviewees, who experienced it first hand, and that is plausible to others.

In sum, a process view taken to the extreme would argue that any entity or stable state is subjectively created, whereas a more moderate ontological approach admits some stability to organizations. The process-based epistemology employed in this study focuses on how events happen while providing conceptual levels for understanding these events (Chia, Langley & Van de Ven, 2004: 1468). Therefore, the answer to how organizational change unfolds is sought through examining the processes of change.

5.2.2 Assumptions

In order to conduct the process research, two assumptions are made. First, there is a clear starting point of the process – the end of the socialist regime in BiH and the subsequent armed conflict. This implies that the stable context of socialist, command economy had dramatically shifted leading to its total collapse during the armed conflict. As a result, in the post-1995 period, environmental and organizational 'clocks' were reset (Keck & Tushman, 1993). This resetting of the clock provides a methodological consensus for observations to commence and, with appropriate methods, to capture the processes of change at all levels (Soulsby & Clark, 2007: 1426). Indeed, process research is considered to be even more important in cases where the transition from the old organizational pattern to the new organizational pattern was dramatic and might be expected to take some time, as is the case with the BiH higher education context. For instance, if a certain reform has not yet produced results, it may do so in the near future. Or if, after a time, a problem has not been solved, it maybe no longer be a problem, or be about to disappear from the agenda. Therefore, instead of using the change program or episode as the unit of analysis, this study applies an approach that the change process in BiH's universities may be understood in another perspective – as a transition towards institutions that

have their own identity and dynamics (Brunsson & Sahlin-Anderson, 2000). That said, the focus is not on higher education reform(s) or institutions *per se*, but on in-depth studies of how the change process unfolds.

Second, sensitivity to the context is considered as important. Pettigrew (1997) calls for 'contextualist' research and additional attention to be paid to the enabling and constraining aspects of the organizational inner and outer context upon content and process. Similarly, Soulsby and Clark (2007) emphasize the importance of context-sensitive explanations appreciating the 'lived-in-chaos' of organizational members as embedded actors. Therefore, this study focuses on the details of how structures and events are linked and of how mechanisms leading to these events are contingent on the context.

5.2.3 Analysis of data

A period of rapid change allow for a processual analysis of change (Pettigrew, 1997). According to Pettigrew (1997), processual analysis involves three important attempts: searching for patterns in the process; revealing underlying mechanisms that shape and drive this pattern; and matching inductive pattern with deduction. This study made these three attempts, which were guiding data analysis. Taking into consideration that process data are challenging, seven strategies for linking process data to theoretical understanding are offered by Langley (1999). Following this typology, two strategies are employed in this study during the data analysis process (Langley 1999): narratives and temporal bracketing.

Narrative as a strategy uses raw data in order to construct a detailed story. It is possible to discern between descriptive and analytical narratives. This study falls under the latter, implying that an analytical element is involved. An analytical narrative approach has been used in, for example, a 'contextualist' perspective (Pettigrew 1985, 1990), or for getting insights into different puzzles in different historical periods (Bates *et al.* 1998). Considering narrative as an explanatory form deployed either in history or the social sciences, Abbel (2004) argues for such approach in conducting small-N analyses with complex causality. He argues for construction of narratives around three sets of entities: world states, actions and actors. Specifications of what a narrative comprises (for more details see Abbel, 2004) can be summarized in the following way²³: a) world states, as a finite set of descriptive states of the world, including an outcome; b) a weak chronology of these states; c) a finite set of actors, individual or collective; d) a finite set of actions that transform some elements of world states, from earlier to later in the chronology of world states. In this study, analytical

²³ Modified from Abbel (2004: 289)

narratives accounted for the beginnings and ends of change as two final sets of states (i.e. two archetypes presented in Chapter 6); patterns of change as a chronology of states, as well as outcomes from earlier to later states in this chronology (i.e. a symbolic, substantive and institutional change outcomes presented in Chapters 7 and 8); ambiguity, as indicating actors; and coordination, as indicating actions (presented in Chapters 7 and 8). In sum, the narrative of change²⁴ is created by summarizing a large number of identified change initiatives. Such narrative is then presented in a form of short histories of the change initiatives in a chronological order. In addition, an analysis, which is a part of the narrative, involved indication of the change initiatives' outcomes.

Temporal bracketing strategy is mainly used for eclectic data, such as events, interpretations, interactions, and feelings (Langley, 1999). It enables a closer look into the phases of a process, with the consequence that various mechanisms may be discerned, and make it possible to examine how the context affects processes. Temporal bracketing also offers the opportunity for structuring process analysis and helping make sense of data. This strategy deconstruct the chronological data for each site under study into successive discrete time periods, or phases, which then become comparative units of analysis (Denis *et al.* 2001). For instance, in this study, phases (Departure Point, Opportunity, Effort) are defined either by changes in the key people (i.e. shift in Rector's position) or by a major change in the environment (i.e. introduction of the new Higher Education Law). The two research sites are then compared across the three phases of the organizational change process (see Chapter 9).

5.3 Data collection methods

Qualitative studies involve multiple data sources, including documents, interviews, and observations of meetings. In general terms, interviews are considered to be biased due to respondents' tendency to make sense of past events. However, they also allow a greater degree of understanding of why events occurred as they did and of how people felt about them (Denis *et al.*, 2001). For this reason, multiple data collection methods were used to overcome the limitations of using a single method (Fetterman, 1998). These methods allowed a narrative of the change processes taking place in the BiH universities to be constructed using the perspectives and viewpoints of the observers and participants of the change (e.g. members of the management teams, Senate members, Bologna Team members), as well as documentary records from Senate meetings and universities' reorganization plans. Some

²⁴ The narratives of change in two University organizations are presented in sections 7.2 and 8.2.

of the data collected are retrospective and some are real-time based. Appendix 1 contains a chronological view of data sources in relation to the events under study for the two universities.

As suggested by Miles and Huberman (1994: 27), the sampling of the two Universities in this study was based on two requirements: a) sampling within Universities involved those key interviewees that have been involved in instigating, coordinating or implementing change; and b) sampling between Universities involved two organizations with structures that allowed the most variation. In within-case sampling, Miles and Huberman (1994: 29) suggested: “it is almost always nested and must be theoretically driven. ...Choices of interviewees, episodes, and interactions are being driven by a conceptual question, not by a concern for ‘representativeness’”. Past research has identified top management as critical players in the crisis situation in University organization (Clark, 1972), and as such they represent key interviewees in the change process. Miles and Huberman (1994: 29) add that “within-case sampling has an iterative or ‘rolling’ quality, working in progressive ‘waves’ as the study progresses”. Key interviewees, because of their role as leaders within the organization, were also in a position to suggest additional interviewees at all levels and departments within the organization. For this reason the study required several rounds of data collection.

An argument for including two organizations in the study is that it adds reliability to the findings. As Miles and Huberman (1994: 29) explain: “by looking at a range of similar and contrasting cases, we can understand a single-case finding, grounding it by specifying how and where and, if possible, why it carries on as it does. We can strengthen the precision, the validity and the stability of the findings.” Using two organizations also enabled variation (Yin, 1994), which was necessary to ‘document’ variations and to ‘identify’ important common patterns (Miles & Huberman, 1994: 28). Further, although Miles and Huberman (1994) refer to multiple-case sampling, here the term multiple-site sampling is used. This better reflects the nature of the study and helps avoid confusion with the case of phenomenon of organizational change that is investigated in this study.

Prior to data collection process, a ‘contact strategy’ was developed. Potential interviewees were contacted via telephone and sent a short description of the study via email. In some cases, an email approach only was used and interviews arranged via associates. A letter of support from the researcher’s guiding institute was available during field visits. The two Universities were visited on four occasions, with duration periods of 2 weeks per each visit:

- In 2003: to gather information about how organizational members perceived the change pressures, and in what ways they reacted to these pressures;
- In 2005: to gather information about the organizational responses to the environment, and the existing constraints and conditions for change;
- In April 2006: to gather information about reasons for action taken, perceptions of the situation (i.e. issues of integration, existing constraints and limitations, as well as enabling factors);
- In December 2006: connection between strategic change initiatives and their outcomes, as well as triggers of ambiguity.

In all, thirty interviews were conducted (see Appendix 2). These were with management team members (Rectors, Vice Rectors, Deans), academic staff (Bologna Team members, Project Coordinator, Higher Education Union Representative/Quality Assurance Coordinator), and administrative staff (General Secretary, Coordinator for Interdisciplinary studies, Bologna Team members, Office for Reforms, Office for Teaching and Student Affairs, Project Coordinator) and conducted in accordance with the research objectives (see Appendix 3 for interview protocols, and Appendix 4 for list of interviewees). Where necessary, and if possible, follow-up interviews were conducted. In this case interviewees were contacted via email or telephone.

The main aims of the interviews were to trace the events associated with change initiatives, to identify the roles of members of a University's management group, to understand the logic behind their actions, to note the reactions of the interviewee and others to these actions, and to understand implications of these actions. At the beginning of the interview process, interviewees were reminded about the purpose of the study and research questions. A scheduled semi-structured format was used for collecting data. The interview protocol was devised prior to the interview to ensure that interview questions are formed in an appropriate manner as well as that all relevant topics were covered. When necessary, additional questions were asked to probe for more in-depth answers. In spite of the fact that all of the questions posed were centered on the same topics, the questions were worded in a manner suitable to the respondents' characteristics and position. This was done in order to enhance the ability to get the best response possible. Interviews were recorded on a mini-disc with the consent of the interviewee (with exception of five individual and one group interview when only notes are taken) and transcribed. Yin (1994) suggests that recorded material can provide a more precise account of the interview than any other method. Notes were also taken during and directly after the interview to ensure that data was not lost due to unreliable technology and to account for

any additional observations that were not recorded. After the interviews had been conducted, they were transcribed and analyzed in the original language. As Strauss and Corbin (1998: 285) recommended, only minimal translating took place (i.e. key passages and their codes).

In December 2005, observational data were gathered from a ‘Bologna Team’ meeting at the University of Tuzla. Participation in the Bologna Team meeting allowed data that could have been missed by other methods, such as interviewing or documents reviews, to be collected. In addition, data were gathered from a number of informal observations, discussions and interviews with the participants of the Education Management Research and Training (BOSHMAN) Project²⁵ in the period of 2003-2005. Finally, informal interviews were conducted with employees at both organizations on issues of government policy, and implementation challenges and experiences.

Documentary sources included minutes of Senate meetings, internal documents, press releases, annual reports from the Rectorates, strategic plans, reorganization plans, legislation acts and amendments, Institutional Development Plans, policy documents and internal Senates’ memos (see Appendix 5). These were reviewed constantly for two reasons: first, they contained histories of organizational actions already taken, lists of actors, as well as future plans, and ideas. Second, they helped in the preparation of the interview protocols. In support of this action, Prior (2003) stresses the importance of such documents for following organizational activity. Referring to the question ‘what makes a university?’, she argues

One answer to such a question is that a University (any university) is in its documents rather than in its buildings. In the UK, for example, universities are established by a charter. The charter – together with other documents – names the university, provides warrant to award degrees, legitimize the officers of the university and so on. Naturally, a university has buildings and equipment and lecturers and students, but none of those things are sufficient for the award of university status. Only the charter can define the organization as a university, and in that sense provide the one necessary condition for its existence. More importantly, it is documentation that invariably forms the basis.

(Prior, 2003: 60)

²⁵ Established in 2001, BOSHMAN Project aimed at establishing cooperation in research on education management and training of university’s administrators at BiH universities. This was assumed to contribute to development of management and administration competence, which in turn are seen as crucial for restructuring the country and securing the democratic and economically sustainable development (information assessed at the project’s website www.bi.no/cem)

Thus, the Senates' memos were used for creating a narrative of the pattern of change by extracting events and outcomes of change. Other documents were used as a secondary data source. Similar to the primary method of data collection, the purpose of collecting data from these sources was to complement findings.

5.4 Data Management

Every methodology textbook on qualitative research emphasizes the importance of good storage and retrieval system for keeping track of data. For this study, Qualitative Software for Data Analysis (NVIVO 7), a qualitative data management and analysis tool was used to manage and code interview transcripts and electronic documents. The program allowed for electronic storage of all transcribed material, provided methods for coding data and relatively easy data search and retrieval functions. Early in the data storage process attributes were allocated to the data (see Appendices 6A and 6B, for initial codes and their definition, as well as Appendix 6C for a list of final codes), which provided the possibility for a cross-site analysis. In addition, it enabled the creation of memos and annotations in NVIVO 7 related to specific theoretical and methodological aspects of the data analysis process, especially for cross-site analysis and interpretation of findings. Finally, queries and matrices were created in NVIVO 7 to help identify patterns in the data, as well as to present, analyze, and discuss similarities and differences in the change process between the two organizations studied. Such patterns would otherwise be difficult to observe due to a specific nature of qualitative data and limitations to process them by only reading the transcribed material.

5.5 Data analysis

In this study, data were analyzed using an approach similar to that described by Locke (2001): comparing incidents applicable to each category (i.e. naming and comparing); integrating categories and their properties; delimiting and writing the theory. Thus the approach involved six general phases of analysis: data organization; coding; generating categories, themes and patterns; testing the emergent understandings; searching for alternative explanations; and writing the report. The first three phases are concerned with data reduction, the latter three with data interpretation. These phases occurred on an ongoing basis throughout the study. As already emphasized, this was due to the iterative nature of the research process.

The process model identified three levels of data: strategic, organizational and institutional. This is in line with other process studies (see, for example, Denis *et al.* 2001; Fox-Wolfgramm *et al.*, 1998) that applied a multilevel

approach in data analysis. More specifically, data analysis involved steps such as identifying archetypes, identifying empirical pattern, defining coding procedures and developing an interpretive framework.

5.5.1 Identifying archetypes

The first assumption leading this investigation was that archetypes exist and can be observed empirically. Thus data analysis began with an attempt to conceptualize the endpoints of the change process using Hinings and Greenwood's (1988) notion of organizational archetypes. As suggested by Hinings, Thibault, Slack and Kikulis (1996: 892), in establishing an archetype "underlying values for the institutional sector have to be isolated and the structural and processual implications analyzed by *the observer*". Or in other words, archetypes are established by the researcher's knowledge of such organizational types, by examining documents about the purposes and forms of the organization, and by interviews with the key players (Hinings *et al.* 1996). This means that a researcher outlines an archetype. Hinings *et al.* (1996) define archetypes as containing statements about values (i.e. preferred domains, designs, and principles of evaluation), and appropriate structures (i.e. systems of roles and responsibilities) for achieving those values. This implies that structure is an instrument for achieving the required outcomes. In this sense, it follows the notion of a strong, integrated culture, which is why Hinings and Greenwood (1988) named it an archetype. Hinings *et al.* (1996) also suggest that within organizational sectors there are legitimating values about organizational design. However, it does not necessarily imply a causal relation, such as, if an organization adopts the structural forms of an archetype, its underpinning values will not necessarily also be adopted.

In this study, the model of determining design archetypes was based on that of Greenwood and Hinings (1993). First, the institutional archetype has been defined by the underpinning values of the institutional (higher education) sector and then by the structural characteristics of BiH's Universities. The values underlying these archetypes were revealed by three procedures. The first was a context documentary analysis. The second procedure was to interview the key actors. The third was a review of organizational documents. Table 5.1 summarizes the main activities within each of the procedures.

From these three procedures, several values emerged. It is assumed that these value commitments represent the institutionally approved set of values. During data collection on values, the structural characteristics that went with them were also outlined and captured through basic organizational design concepts (such as the concepts of specialization, standardization and

centralization). By applying the values and the three structural elements to the material on the evolution of university organizations, two design archetypes were uncovered: Fragmented University and Integrated University. These two archetypes were used to denote endpoints of change process unfolding in the two University organizations.

Table 5.1 Procedures for determining design archetypes (modified from: Greenwood & Hinings, 1993: 1059-1061)

| <i>Procedure</i> | <i>Activities</i> |
|----------------------------------|--|
| Context documentary analysis | Identifying statements and normative references that deal with: the appropriate domain of the university, how it should be organized and managed, performance expectations, failures to plan, the absence of clear goals and objectives, professional insularity, the lack of coordination between professionals, the need for new structures, etc. |
| Key actors interviews | Interviewing key actors at the two universities about their roles, job responsibilities, satisfaction with the present structures, what kind of decisions they are responsible for, etc. |
| Organizational document analysis | Analysis of documents and reports from the two universities relating to organizational arrangements that would be implemented after the reorganization providing descriptions of desired organizational structures and narratives explaining organizations' purposes and key actors' ideas about expectations regarding the universities operations. |

The next step in data analysis was to identify the empirical patterns (i.e. events, actions and outcomes) not described in any of the documents examined or revealed during the first round of interviews, and to investigate these events.

5.5.2 Empirical pattern

An important challenge of this study was creation of an empirical pattern which could be used to contribute to understanding organizational change in a context of institutional upheaval. As Dabbs pointed out

one can diagnose the nature of an entity – be it a phenomenon, process, individual, or group – by looking at what it does and what effects it has and triangulating back from these external signs... Qualitative research would deal with elements that are patterned or distributed systematically but unevenly (with variation) across space, time or other elements. A pattern can thus be thought of as the statistical interaction of a measure with space, time and other measures. Phenomena do not just exist. They exist at places and

times, along with other things, and the patterning of their existence along place/time/thing dimensions can be summarized.

(Dabbs, 1982: 34-37)

In developing the empirical pattern²⁶, several ‘techniques’ were applied in creating narratives of organizational change in the two Universities. A main aim of such an approach was to anchor the study in the details of such process. For this reason, data has been grouped into three phases (Departure Point, Opportunity, Effort), as suggested by ‘temporal bracketing strategy’ (Langley, 1999). This is not in order to compare data across chronological time events, but rather to compare across similar units of data for the two organizations. Five techniques can explain how the empirical pattern has been created in this study.

The first technique was the decision to study higher education institutions. The selected universities were and still are exposed to the same external pressures and have same organizational legacies. To narrow the units of observation, two were chosen that represent extreme cases in terms of their different tendencies of organizational trends. This enabled both similarities and differences to be accounted for, and the creation of an anchor for subsequent analyses.

The second technique was the decision to use literature on organizations and management, organizational change in general and on organizational change in higher education and post-socialist context in particular. This provided the foundation for the study.

The third technique was to use the Senates’ memos, decision documents, press releases, and speeches by the Rectors in order to be familiar with basic organizational processes. Original documents from the reorganization period were especially interesting, since they were written before the outcome of action was known. One benefit of historical documents is that they are less retrospectively biased than questionnaires and interviews. Prior (2003) discusses the importance of documentation as being not so much in the normal course of events, but at critical points when ‘things go wrong’. These periods, according to her, are “only traceable and accountable through the written record and therefore (from a research standpoint) crises in organizational life can provide considerable opportunities for investigation” (pp. 61).

The fourth technique was familiarization with the research context and primary research materials. This had already been partly achieved, from

²⁶ See Chapters 6, 7, and 8

conducting a small-scale research as a part of the Master of Science thesis in the two subject organizations, and from participating in nine intensive five-day seminars over a period of three years²⁷ (2002-2005) with the Universities' academic and administrative staff. These exercises helped with familiarization of the organizations under investigation.

The fifth technique was the identification of 'organizational change during institutional upheaval' as a unit of analysis. During field work and familiarization with the data, it was noticed that coordination emerged as a main organizational process, and ambiguity emerged as a main organizational condition perceived by the interviewees in the change process. The change process, however, was thought of as 'integration', 'modernization', 'organizational responses', 'organizing for change' and finally was taken as 'organizational change during institutional upheaval' - the 'case' under investigation.

5.5.3 Coding

'Open coding' (Strauss & Corbin, 1998) began with reading transcripts or other documents, noting passages in which change and action issues were discussed, and writing general comments (i.e. memos and annotations in NVIVO 7) about the language and perspective used by the interviewees. A narrative of change initiatives and their outcomes in the two organizations was created by reading Senate's memos reaching back over four years in the University of Tuzla and two years in the University of Sarajevo. These memos were repositories of the organizational action and change outcomes. Originally, change initiatives were classified as academic and administrative internal (i.e. intra-organizational), as well as administrative external (i.e. inter-organizational). As the research period developed, the outcomes of these initiatives were classified as symbolic, substantive and institutional change outcomes.

After the initial review of interview data, the transcripts were re-read, but this time with a focus on the paragraphs or sentences that addressed how certain initiatives came into being, were developed or discontinued. Each was conceptually coded by simple descriptive phrases as well as by 'in-vivo' codes, i.e. codes in the language of interviewees (Strauss & Corbin, 1998), in cases where interviewees explicitly pointed out to some tactics or intentional action they used. For instance, influence tactics were described by using terms 'forcing', and 'usurping'. During this process of conceptual coding, relationships were sought among the concepts that would allow categories or collections of concepts pertaining to the same phenomena to be created, and

²⁷ As a part of the previously described BOSHMAN project

the actual linking takes place at a conceptual level (Strauss & Corbin, 1998: 125). This linking was a part of axial coding (Strauss & Corbin 1998) allowing for recognizing relationships among categories and developing themes.

As themes were identified within the data, any theoretical relationships among them were also revealed so that the themes could be grouped together into broader aggregate dimensions. Here theoretical reviews and models were helpful, since they provided explanations and directions on aggregating at more abstract levels. For example, based on theoretical statements, the interrelated themes 'Weak Institutionalization', 'Organizational Properties' and 'Competing Understandings' could be combined into the aggregate dimension 'Triggers of Perceived Ambiguity'.

In deciding whether an emergent code or a topic was important to be explored in subsequent interviews, two rules were used. First, if two or more interviewees referred to the same topic (e.g. the importance of the academic freedom), the same event (e.g. the Round Table on European Credit Transfer System - ECTS) or the same concept (e.g. ambiguity), this was explored further. Second, if key interviewees talked intensively about a topic (e.g. the importance of the Higher Education Law), it was considered worthy of further exploration.

Based on the above mentioned presentation of research techniques, an interpretive framework is presented in the subsequent section.

5.5.4 Interpretive Framework

Exploring and understanding organizational processes is a challenge in qualitative research. There is the problem of surface observations and the explanations that require deep and underlying structure (Pentland, 1999). According to Pentland (1999), narratives have different levels: text, story, fabula and generating mechanisms. *Text* and *story* reside at the surface level. *Fabula* is an objective story, and *generating mechanisms* drive the process. In a similar vein, although from another standpoint, Van Maanen (1979: 540) identifies first-order concepts as 'facts' of an ethnographic investigation and second-order concepts as the 'theories' used to organize and explain these facts. Following these two classifications, data analysis is based on an interpretive framework using first-order categories and second-order themes and aggregate dimensions (Table 5.2).

Table 5.2. Template for interpretive framework

| | | |
|----------------------|--------------------|----------------------------------|
| First-order category | Second-order theme | Second-order aggregate dimension |
| First-order category | | |
| First-order category | | |
| First-order category | | |
| First-order category | | |
| First-order category | | |

After the discussion of the research process and analytical framework, in the next two sections an insight into the research quality is provided by reflection upon the issues of trustworthiness and generalization.

5.6 Criteria for research quality

To evaluate the research process is a central issue in social research. This evaluation implies two types of questions. First, to what extent are findings of the study valid and reliable? And second, to what extent are findings useful to understand similar process in other situations and organizations than those studied? The two subsequent sections address and discuss these two types of questions respectively.

5.6.1 Validity and Reliability

Issues of validity and reliability are traditional notions of trustworthiness in functionalist research. However, some of the standards for judging quantitative studies are not applicable for judging qualitative studies, and need to be adjusted (Strauss & Corbin, 1998). Thus, interpretative research has an alternative set of criteria that can be used for the evaluation of method and analysis used.

Reliability relates to a situation where another researcher conducting the same study and following the same procedure as the original study should arrive at the same findings as the original study. Thus reliability implies two issues: reproduction of findings and data consistency. *Reproducing* social phenomena in qualitative research is likely to be difficult due to the inability to replicate the original conditions for data collection (Strauss & Corbin, 1998). Therefore, Strauss and Corbin (1998: 266-267) suggest that “given the same theoretical perspective of the original researcher, following the same general rules for data gathering and analysis, and assuming a similar set of conditions, other researchers should be able to come up with the same or a very similar theoretical explanation about the phenomenon under investigation.” In order to meet this criterion, this study provided a detailed description of the research strategy, research design, setting, interview protocols, data management, and accurate records of contacts and interviews. In addition, attempts were made to make steps of the research

process transparent by providing the detailed descriptions of the data analysis procedures, i.e. identifying the archetypes and empirical pattern, as well as providing a chronology of research techniques. As already mentioned, reliability also means *data consistency*. Negative evidence testing involves a search for disconfirming evidence and rival explanations from alternative and 'official' sources during the data collection phase (Patton, 1999; Yin, 1999). In this study, negative evidence testing included content analyses of internal documents, such as the Senates' memos and other organization documents, as a means of revealing prevailing assumptions, values and action priorities of organizations and their members.

In addition, there are three types of validity criteria in qualitative research: descriptive, interpretive and theoretical validity (Maxwell, 1996). *Descriptive validity* refers to the accuracy of data, which is a primary aspect of validity, on which other two aspects of validity depend. In this study, descriptive validity was accounted for through several procedures. Interviews were recorded, and then additional data sources were used. In addition, steps in the research process are made transparent. This aspect of validity relates to the *reliability* of the research process described above.

Interpretive validity refers to how the description of a phenomenon studied corresponds to the perspective of those experiencing the phenomenon (Maxwell, 1996). To achieve interpretive validity by avoiding researcher's bias, two procedures have been followed: reflecting upon the researcher's role, and careful data treatment. First, the researcher's frame of reference and familiarity with the context can be both a strength and a source of bias influencing analysis. In this study, an initial unfamiliarity with data sources is regarded as both an advantage and a weakness. The advantage of being an outsider implies entering the fieldwork with a fully open mind. On the other hand, unfamiliarity can be a weakness in that initial information on the phenomenon to be studied would probably be easier to obtain as an insider to the organizations. Second, the careful data treatment involved checking for inconsistencies in coding. Inconsistencies in coding over time have been accounted for by using coder consistency test (Richards, 2005: 99). Thereby, previously coded data were recoded and the two coding results compared. This comparison in data coding provided consistency checks during the data analysis process, since there was no possibility of having other researchers coding the same data.

Theoretical validity refers to the validity of concepts applied to the phenomena, as well as to the validity of postulated relationships among the concepts (Maxwell, 1996). In this study, theoretical validity was accounted for by developing the conceptual model, theoretical sampling and providing maximum variation among the two research sites. In addition, the iterative

nature of the research design enabled rival and disconfirming theoretical explanation of the phenomenon observed and studied to be searched for. As a result, the clarification of concepts improved throughout the period of study. Theoretical validity also included searching for negative evidence by comparing findings with those of other empirical studies. For example, Simunovic *et al.* (2006) showed that individual academics in BiH's universities are very influential and that much of organizational action depends on them. In a similar way, this study revealed the role of influential individuals in the collective arenas of sense- and decision-making.

5.6.2 A note on Generalization

Generalizability of the case study findings is the subject of much debate in the literature. Case studies, seen as one of the 'prime subjects' of qualitative inquiry (Eisner & Peshkin, 1990: 171), are frequently criticized for their results not being widely applicable in real life, as well as for their dependence on small number of cases that cannot provide generalizing conclusions. In other words, single case studies may provide interesting results, but they provide no measure of generalizability (Burawoy *et al.*, 1991). Burawoy *et al.* (1991) also suggest that the case study is unique until its results are tested in a sample of cases selected from a population. Summing the arguments, this problem of 'small N' and 'big conclusions' (Lieberson, 2000) is a main criticism of the case study approach.

From a standpoint of positivistic social science, statistical generalizations can only be 'a-historical' and 'context-free', whereas case studies are committed to the "contextualization of social action and processes" (Snow & Anderson, 1991: 164). That said, the possibility of having other ways of generalization except the statistical one is questioned, since the literature suggest that rather than "transplanting statistical, quantitative notions of generalizability and thus finding qualitative research inadequate, it makes more sense to develop an understanding of generalization that is congruent with the basic characteristics of qualitative inquiry" (Merriam, 1985: 213). This resulted in at least two other approaches to the issue of generalization: theoretical (Yin, 1994) and naturalistic (Stake, 2000). Theoretical generalization is seen as relevant for the present study, and the following account will shed a light on this kind of generalization.

Aiming at theoretical generalization, cases are chosen from their theoretical universe as representative samples or interesting phenomena of relevance. Here, Weber's study of bureaucracy provides a good example. Even though Weber studied Prussian bureaucracy, his model essentially became the vehicle for examining other cases. Nowadays, when we refer to the concept of bureaucracy, we refer to Weber's concept of bureaucracy, which is taken

to be a robust concept. Hence theoretical generalizations are made on a basis of what is understood as a theoretical sample. Glaser and Strauss (1967: 30) support this approach by emphasizing that a single case can indicate a general conceptual category or property. As a result, a process of theory building aims at offering explanatory power or predictive ability of what might happen in given situations, or as Strauss and Corbin suggested:

...in writing the theoretical formulations that evolved from our study, we specify the conditions that give rise to certain phenomena – problems, issues, and the use of strategies or actions/interactions to manage these problems or issues – and explain what consequences occur as a result of those actions/interactions. We are not suggesting that substantive theory (one developed from the study of one small area of investigation and from one specific population) has the explanatory power of a larger, more general theory. ... However, the real merit of a substantive theory lies in its ability to speak specifically for the populations from which it was derived and to apply back to them.

(Strauss & Corbin, 1998: 267)

According to Soulsby and Clark (2007: 1423), organizational research in post-socialism provides a “very special setting in which to conduct organizational research, because its empirical characteristics are conducive to theory development”. Argument that Soulsby and Clark (2007) put forward relates to seeing empirical characteristics in post-socialism as what Yin (1994) named a ‘critical case’. Thus, in this study, generalizability would relate to findings concerning direction and facilitators of organizational change during institutional upheaval.

5.7 Summary

The research process was both planned and emerging. For instance, the aim of iterative research design was to provide a flexible protocol in a form of the conceptual model. This model was necessary for defining the research priorities and presenting the agenda for inquiry. At various stages in the research, concepts from the literature were drawn on to enrich and refine the understanding of a phenomenon studied. During the study, the model was amended as new insights and evidence were discovered from the literature, internal documents, press reports, interviews, and tentative conceptualization. In addition, peculiarities of conducting a process research are presented with regard to ontological and epistemological issues, assumptions made and data analysis. It has been argued that such an approach was suitable for addressing the research inquiry.

Moreover, extensive documentary records (minutes of the Senate meetings 2002/2004-2006, press releases, reports, etc.) and interviews with key participants (including Deans, Rectors, academic and key administrative staff) were the main sources of data to construct the case histories – that of organizational change during institutional upheaval. Following suggestions of Miles and Huberman (1994) and Yin (1994), the aim of triangulating the multiple sources of evidence was to enhance the credibility of the model by increasing the amount and quality of data, and by examining multiple perspectives. Qualitative Software for Data Analysis (NVIVO 7) was utilized and a description of research techniques is provided. The aim was to present the research procedures and increase the research quality.

6. Bosnia-Herzegovina's Higher Education: Context and Organizational Trends

The purpose of this chapter is twofold, and is partly descriptive and partly analytical. It will outline the key features of BiH higher education and of the changes in its socio-political and economic environments over the past six decades. Also, as an understanding of the tradition, culture, and organization of BiH's higher education institutions since their establishment is important, an account of the historical background is given. Traces of tradition, culture, and organization are seen to be deeply rooted in the present system. In the 1990s, a new system of governance was established, whereby the ownership of BiH Universities was transferred from the state Ministry of Education to the Cantons' and Divisions' Ministries of Education. Simultaneously, new pressures for modernization stemming from European higher education systems have been widely recognized and acknowledged. Both the changed ownership and pressures for modernization had a direct impact on the development of different organizational trends in the BiH's higher education institutions.

In what follows, establishment and development of modern BiH higher education institutions is addressed. Then, a number of internal system constraints and external pressures for change are presented. Finally, as an introduction to the data analyses given in Chapters 7 and 8, two organizational trends in BiH higher education are analyzed.

6.1. Establishment and development of modern BiH higher education institutions

Although higher education studies have taken place in Sarajevo since the 16th century, it was only after the World War II (WWII), when BiH became a part of the Federal Republic of Yugoslavia (hereinafter Yugoslavia), that the first BiH's university was established. The University of Sarajevo, founded in 1949 and consisting of five faculties, began to develop rapidly: establishing new faculties, introducing two- and four- year periods of study, and developing art academies (University of Sarajevo, 1994). Other higher education institutions followed a few decades later (see Table 6.1).

Table 6.1. Overview of BiH Universities 1949-1990 (modified from Soljan (1991: 135))

| Name of University | Year Founded |
|--|--------------|
| University of Sarajevo | 1949 |
| Djuro Pucar Stari University of Banja Luka | 1976 |
| Dzemal Bijedic University of Mostar | 1976 |
| University of Tuzla | 1976 |

Post-WWII Yugoslavia was constructed as a multinational federation of six republics²⁸ and two autonomous provinces²⁹, and remained as such until the 1990s. Yugoslavian society was a society developed under Marxists assumptions about how to build new societies and a new people (Reichard, 1992). The ‘Yugoslav Experiment’ (Rusinow, 1977) and its leader Tito³⁰ enjoyed support within and outside of Yugoslavia, due to a fear that otherwise nationalist forces would ‘balkanize the Balkans’ (Reichard, 1992). A main goal of the Yugoslav Experiment was to convert ‘existing traditional and elitist traces of the bourgeois practice’ to a ‘genuine socialist democracy of workers’, and a reform of the education system was a means to achieving this goal (Reichard, 1992). The Yugoslav leadership was committed to the industrialization and the modernization of society, and to this end the establishment of a strong link between science and technology and communist ideology was emphasized (Denitch, 1978). As a result, there was a shift of focus within Universities whereby the percentages of students in traditional faculties, such as law and philosophy, were reduced and the capacity of faculties in the field of technology, natural sciences and economics were increased (Denitch, 1978: 79). The ratio of University students to the total population was 75 students to every 10,000 persons, and Yugoslav sources claimed that this ratio was only exceeded by the United States (US) and the Soviet Union (Skrzypek, 1965: 88).

There have been five education reform movements in the socialist period: 1945, 1954, 1958, 1960, and 1974 (Reichard, 1992). The educational reforms were based on a social and political system of self-management in which “workers and teachers, homemakers and administrators, as well as students would work together for the good of their school, local community and larger society” (Reichard, 1992: 5). Borgese (1975) saw self-management as playing a main role in politicizing the economy by “transforming it into a community which is not bent on profit-making exclusively but on articulating the social and political as well as the economic decision-making processes of its members, workers and managers alike” (pp. xix). The reform that started in the 1970s incorporated five ideological objectives (Weber, 2006): efficiency in education by establishing a link between the University-factory, increase of society’s education level, realization of egalitarian ideological requirements of the Yugoslav society, re-ideology through more systematic introduction of Marxists subjects at all education levels, and the institutionalization of self-management in a total education system.

²⁸ Bosnia and Herzegovina, Croatia, Macedonia, Montenegro, Serbia and Slovenia

²⁹ Kosovo and Vojvodina

³⁰ Josip Broz Tito (1892 - 1980) was a leader of resistance under the WWII, and the first, life-time, president of Yugoslavia

At the governance level, and in the spirit of self-management ideology, the 1974 Self-Management Education Reform provided independent control over the higher education system at regional level. A process of decentralization of higher education management took place by abolishing the Federal Yugoslav Ministry of Education and establishing eight ministries of education, six at each republic and two at each province (Soljan, 1991).

Furthermore, the processes of decentralization, self-management and socialization also affected the nature of planning and decision-making in the system of higher education. The ideology of replacing state ownership with social ownership gave birth to a specific institution called a Self-Management Community of Interest. These Communities of Interest consisted of institutional and world-of-work delegates. As a consequence, the professional and administrative staffs of Self-Management Communities of Interest, rather than delegates of institutions of higher learning and the economy, assumed a dominant role in planning and decision making in higher education (Soljan, 1991). Thus academic affairs, such as development plans, enrollment policies and curricula, were debated by the party, trade unions, the Socialist Alliance, the Youth Organization, and various state, para-statal, and self-management bodies (Soljan, 1991). The governing body of the University was the University Assembly, composed of representatives from respective faculties, the University's Secretariat, BiH's Republic Assembly, and other socio-political organizations (University of Tuzla, 1979). The University's Assembly appointed the Council of University's Assembly, which was the executive body of the University's Assembly. The University's Scientific-Teaching Council, which was an expert body, comprised the Rector, Vice Rectors, faculties' representatives, academies' representatives, and the president of the Coordination Board for mutual teaching (University of Tuzla, 1979). This structure of decision-making bodies resulted in a University organization that lacked experience in managing the organizational processes.

Another remarkable consequence of self-management was the organizational transformation of Universities based on University Laws introduced in all Yugoslavian republics by the mid 1970s. Indeed, imposing the organizational structure of that time Yugoslav economic enterprises on the Universities, resulted in the decentralization of the most important decision-making processes to the level of faculties and/or departments (Weber, 2006). A particular organizational structure related to the principle of self-management has been described as a horizontal structure (Adizes, 1971) emphasizing three specific features: power distribution as affected by the distinction between administrative and legislative power; the power of veto

entrusted to the general membership³¹ representatives instead of to a chief executive; and tenure, selection and dismissal of staff, especially for key executive positions, decided by the general membership or its representatives (pp. 4-5). In so doing, the power was taken away from the University Rectorate, resulting in a fragmentation of the Universities (Weber, 2006). As a result, the Universities became loosely connected associations of highly independent faculties (Clark, 1983). Therefore, even though there were formally four Universities³², it would be more accurate to speak of a number of independent entities, such as faculties, art academies and colleges. Soljan (1991) summarizes two important characteristics of the organization of higher learning that were established in the Yugoslav period: a) faculties built on the traditional Central European pattern, which implies teaching a variety of disciplines³³; and b) a lack of the departmental model of University organization.

Dissatisfaction with the existing University's concept and faculty's organization was a topic of debate and analysis at some higher education institutions. For example, in 1968, one of the Deans from the University of Sarajevo described a main problem of the University and faculty organization:

Aiming to develop self-managing social relations at Universities, there have been changes in organization and types of self-management, funding procedure, as well as determination and distribution of income. Some modified types of self-management in the economy are transferred to the University, in order to demolish its 'closeness'. As a result, instead of the University as a complete scientific-teaching institution, we have made an association (more or less obligatory) of faculties, which in turn became independent and self-managing working organizations, with as many conceptions of university's teaching and development policies as faculties – everything in the name of self-management. At the same time, there has been a separation of laboratories at some faculties in self-managing, scientific institutes, due to specific scientific funding. The same process is noticeable at organizations of student standard, which are being established as self-managing institutions with different names: student's centers, student's houses, student's restaurants. By doing so, the University as a complete teaching and

³¹ The general membership corresponds to the body whereby all workers decide about organizational matters.

³² University of Sarajevo, University of Mostar, University of Banja Luka and University of Tuzla

³³ Terms discipline, field, department and chair are used interchangeable in this study

scientific institution with additional activities needed for the teaching and scientific work, and student life, is being transferred in a number of independent and self-managing teaching, scientific and other institutions.

(University of Sarajevo, 1968: 64, translation provided)

There are several recommendations for 'rationalization' made in this University of Sarajevo's (1968) report that are worth mentioning for the purpose of this study. The first recommendation addressed the integration of scientific disciplines, or subjects from respective disciplines, into chair structures or departments, which would then become the nucleus of teaching and research university-wide. The second recommendation was the integration of various administrative and technical services from faculties into mutual services. The third recommendation was that academic appointments should not be treated as any other employment contract, in a sense that non-academics (appointed at the Self-Managing Communities of Interests) have a power to decide about these appointments. In addition, several other recommendations followed, from solving the students' teaching overload, higher students' participation in decision making, to development and funding plans.

As described above, one of the consequences of self-management ideology imprinted on the University and faculty organization is that research has been separated from the Universities into a number of independent Research Institutes. As a result, there have been many challenges in functioning between scientific-teaching organizations (i.e. Universities and faculties) and scientific-research organizations (i.e. Research Institutes). The consequences of such division have been analyzed in some University documents, since it was recognized that the involvement of academic staff in research was limited. An analysis of reasons for the lack of research among the University staff showed that besides individual motivation there ought to be more systematic approach in dealing with this lack of research at the Scientific-Teaching Councils (University of Tuzla, 1980). An additional reason for the lack of research activities was teaching overload. One of the remarkable results of the Self-Management Education Reform was an increase in student enrolments. OECD Report, referring to Yugoslav higher education showed that a pre-WWII figure of 1,2% attendance by those eligible to enroll at a University increased rapidly to 6% by 1960-61, and to 9% by 1969 (OECD, 1971). At the University of Sarajevo, for instance, the number of enrolled students nearly doubled from 20,000 in 1970 to 38,000 in 1975 (Weber, 2006). This was seen as a remarkable growing demand for higher education during this period. The expansion of higher education caused an overload in teaching for existing academic staff, which in turn negatively influenced the staff's engagement in research activities (Weber, 2006).

There are several main features that the BiH higher education inherited from the former Yugoslavian higher education system. First, University organization consisted of highly independent faculties, which were responsible for student admission processes and student enrolment. Approved students' admission to a faculty automatically implied they were enrolled at the respective University. Academic and non-academic staff was also employed by the respective faculties, since they were legal bodies.

Second, the 'learning arena' was envisaged as a one-way communication forum, whereby the professor teaches and students listen and memorize facts³⁴. Although there was a certain number of classes per course when students had to conduct laboratory or practical work, this type of work was not allocated any grade. This resulted in a very specific way of grading through written and oral exams typically conducted during four exam periods on an annual basis. All courses involved a similar teaching pattern: lectures given by senior professors, exercises³⁵ supervised by assistant professors, plus laboratory work, and clinical work where appropriate (e.g. in medical studies). Hours spent in lectures and exercises were called contact hours. Students and teachers workload was measured by the number of these contact hours, which were divided into Lecturing, Auditorium Exercises, Laboratory Exercises, and Clinical Hours. There were no interdisciplinary courses, since a strong identity towards single disciplines was encouraged. Hence there was no possibility for elective courses.

Third, a fundamental way of organization in BiH higher education was based on the guild system. Teaching was organized through courses within certain subjects grouped around the departments. In addition, the same subjects, for example mathematics, were taught with different syllabi and curricula at different faculties affiliated at one University, due to the loose association of the highly independent faculties. This resulted with the existence of departments of mathematics at several faculties within a University.

6.2 Dayton legacy

In the 1980s Yugoslavia experienced serious economic and political crises, which could not be solved within the existing one-party political system. Leaders from six republics and two provinces were not able to find a successful and mutual solution to remain within the same country of Yugoslavia. In BiH, as was the case in other Yugoslav republics, the first

³⁴ This was the case with the majority of classes

³⁵ The term 'exercise' is a literal translation of the local term that refers to problem-solving learning conducted by teaching assistants in the respective subjects that account for this type of contact hours.

free and multiparty elections were held in 1990. The coalition government was established in 1991. This coalition government, which consisted of the three political options representing the three biggest ethnic groups in the country (i.e. Bosniaks, Bosnian-Serbs and Bosnian-Croats), reached an agreement only upon one thing - to seize power from the communist regime³⁶. However, the ruling partners differed in many other fields (ACA, 2000). For instance, in the coalition government, each of the three nationalist parties began to establish their own control over sectors of the state, leading to further divisions of institutions internally (Burg, 1997).

In 1991, Yugoslavia's socio-economic and political problems accumulated and, together with the proclamation of independence by the republics of Slovenia and Croatia, resulted in the dissolution of Yugoslavia (ACA, 2000). This eventually led to war activities first in Slovenia and then in Croatia. Concerning the separation from Yugoslavia, in BiH, a majority of people voted for independence in early 1992 so that BiH followed the examples of Slovenia and Croatia and declared independence. However, the Bosnian-Serbs wanted to stay with the rest of Yugoslavia and had boycotted the referendum on independence for BiH. Nevertheless, the Republic of BiH was recognized as a sovereign and independent state by the European Union (EU) and the US on April 6th, 1992, and became a member of the United Nations (UN) in May of the same year. War, which took place from 1992 to 1995, followed instantly (The Economist Intelligence Unit, 2001). After three years of continuous fighting, and numerous cease-fires' unsuccessful agreements, the so-called Dayton Peace Agreement was signed in Dayton, Ohio, on 21 November, 1995, the final agreement being verified shortly afterwards in Paris on December 14. As a consequence of the war, most of the bases of political tolerance between the major ethnic groups were destroyed, whereas power still remained consolidated in the three nationalist leaderships (Burg, 1997: 139). There were several consequences of the Dayton Peace Agreement for the higher education system and institutions in the post-socialist, post-conflict BiH.

6.2.1 Balkanized Administration

The Dayton Peace Agreement retained BiH's international boundaries and created a joint multi-ethnic and democratic government. According to some, the Dayton Peace Agreement "appears to have advanced the political institutionalization of the ethnic partition of BiH that was established by war rather than its re-integration" (Burg, 1997: 141). More specifically, in Annex IV of the Agreement two new political and geographical divisions were specified: a) the Federation of BiH (FBiH) predominately populated by

³⁶ although a majority of newly formed party members were ex-communists

Bosniaks and Bosnian Croats residing in 51% of the country's territory, which was further divided into ten cantons, and b) the Republic of Srpska (RS) predominately populated by Bosnian Serbs occupying the other 49% of the territory. The town Brcko in the North-eastern part of BiH remained a separate administrative unit called the District of Brcko. The Office of the High Representative (OHR) was established as the chief civilian agency responsible for the implementation of the Dayton Peace Agreement.

As a consequence of the Dayton Peace Agreement, the authority of the Ministry of Education, Science, Culture and Sports in the Government of the Republic of BiH was terminated in February 1996 (ACA, 2000). This resulted in authority over higher education being centralized in the RS and devolved into ten cantons in the FBiH³⁷. However, each canton was given the right to transfer its competencies to a municipality or a town in its territory or to a divisional FBiH authority (COE, 1996). This resulted with twelve Ministries of Education (i.e. two divisional, and ten at each canton) and the Department for Education in the District Brcko. The Dayton Peace Agreement provided a basis for such a deeply divided higher education system. It moved authority from the national level to local governments and decentralized political control. For instance, cantons have jurisdiction over Universities in their areas of control and can even decide upon the establishing a University if necessary.

As a result of this rather specific and complex context, the number of higher education institutions increased from four to eight between 1992 and 2005. This change was particularly noticeable at the regional level where sixteen new two-year colleges and four-year faculties were established between the academic years of 1991/92 and 1995/96 (ACA, 2000). This proliferation of higher education institutions is seen as a weakness: "instead of looking for the most efficient higher education system, a small country BiH allowed proliferation of institutions based on political fragmentation" (COE, 1996). Some universities remained divided into two institutions, based on linguistic or ethnic considerations, such as universities in the Sarajevo and Mostar regions. At the same time, the number of teachers and associates remained the same, in spite of the huge "brain-drain" during the war. This situation resulted in some professors having to teach at three to five different faculties and Universities (COE, 1996). This also led to a paradox in the ratio of students and teachers. According to the statistics from the Federal Statistical Bureau (2006), while the number of students increased drastically from 39,273 in 1998/99 to 62,546 in 2005/06, the number of teachers decreased in the same period from 1701 to 1091. This indicates a serious drawback with lack of teaching staff in the BiH's higher education system.

³⁷ Though not all cantons have higher education institutions

6.2.2 Legislative Issues

Pre-1992 Higher Education Law was the basis for the post-1995 legislation in higher education (ACA, 2000). That is to say, in a period 1949-1992 a common formal structure emerged which was encoded in the Higher Education Law. According to this Law, Universities merely performed a ceremonial role, since they were organized as a loose association of independent faculties. In addition, the Law determined the manner of regulating the general sources of instruction, the professional, special and optional subjects for undergraduate studies, conditions for initiating postgraduate studies, procedures for obtaining specialist degrees, Master degrees, and doctoral (PhD) degrees, and conditions for appointing professors and assistants. Out of eight, the University of Tuzla and a newly established University of Zenica³⁸ are the only examples where the Canton's Higher Education Laws were altered to provide for the integration of faculties and the so called "integrated" University model. This means that services, such as financial services and personnel departments that existed previously at faculty levels, are presently united at the University level. At the remaining six Universities, the faculties are considered as legally chartered institutions with financial and academic autonomy, and the Universities have, if any, little legal authority or power over resource allocation.

However, the process of transition in all former Central and Eastern European countries, including 'West Balkan' countries that emerged after a dissolution of Yugoslavia, implied the need for reformulating higher education legislation in order to initiate significant reforms. The involvement of international organizations, non-governmental and governmental organizations in the field of BiH higher education resulted in the recognition of a need for the integrated University model, and the mechanism for ensuring this process was new legislation – the "Umbrella Higher Education Law", which had been drafted by the Council of Europe (COE) together with selected BiH University representatives. In May 2003 a draft of the Umbrella Higher Education Law was distributed for revision to all relevant factors in BiH higher education setting. This law regulation aimed at introducing significant change: a new setting in which the role of Universities would be strengthened³⁹. This was seen as the main precondition for introducing the needed changes aiming at the harmonization

³⁸ University of Zenica has been established in 2005, by merger of several faculties operating in Zenica-Doboj Canton. Previously, these faculties were affiliated to the University of Sarajevo. However, the Zenica-Doboj Canton used the opportunity given by the Dayton Peace Agreement and established its own University.

³⁹ Universities will remain with the legal status, whereas faculties are losing the legal status

and development of higher education system. In 2005, the draft Umbrella Higher Education Law was accepted by the Rector's Conference, the highest academic inter-organizational coordination body. However, the Umbrella Higher Education Law was subject to parliamentary procedure in the BiH Assembly for several years, including the research period reported in this study, and was only finally accepted in August 2007. Given this long ratification process, this study does not account for changes introduced by this Umbrella Law. In addition to this assistance with preparation of the new legislation in higher education, international agencies have been involved in other education issues as well. The subsequent sections provide an overview of this engagement in assisting the higher education reform in BiH.

6.2.3 International Involvement

The level of physical destruction of the BiH education system facilities during the war made material reconstruction an understandable priority, thereby postponing reforms at system level, which were recognized as a priority in other countries throughout Central and Eastern Europe. Between 1996 and 1998, international donors were committed to support the reconstruction of education in BiH. In 1996, COE reported that governance of BiH higher education experienced difficulties in both coordination and management of institutions, since there was neither homogeneity of academic standards, nor the possibility of comparative assessment of the academic institutions' performance (COE, 1996). Cantons' parliaments in the FBiH were establishing their own laws for higher education, while issues of funding and quality assurance remained problematic.

The International Community (IC), as represented by a number of agencies⁴⁰, recognized the necessity to deal with changes of the general legal framework for higher education in BiH. The first objective was to bring the three separate educational systems closer together. Hence there was an emphasis on how to adopt common standards compatible with other European practices, in order to define mechanisms for mutual collaboration between Universities at divisional and canton's levels. Institutional management was seen as of major importance, since it was recognized as the weakest point in the current higher education structure (ACA, 2000). The OECD (2003) made recommendations within three areas: first, the redevelopment of the higher education system through available programs, such as the trans-European mobility scheme for University studies (Tempus) programs; second, the introduction of more employment-related courses and

⁴⁰ the Council of Europe (COE), the Association of European Universities (CRE), the European Commission (EC), United Nations Educational, Scientific, and Cultural Organization (UNESCO), the Organization for Security and Coordination in Europe (OSCE), and the Office of the High Representative (OHR)

a common credit system; and third, the need for national strategy on higher education.

The COE was involved in strengthening cooperation in higher education between the FBiH and the RS, by administering the work of the Higher Education Coordination Board (HECB) for a period of five years 2000-2005. Although the Dayton Peace Agreement did not plan for such a body as HECB, the necessity for one single agency that could deal with and link higher education institutions countrywide, was recognized (ACA, 2000). HECB brought together representatives from each University emphasizing that communication among the members of BiH's academic community was essential for future academic life in the country and a prerequisite for reintegration with the European academic community. In 2005, HECB evolved into the Rector's Conference, a body consisting of eight rectors meeting on a regular basis and discussing issues of importance, such as the Umbrella Higher Education Law. The first president of the Rector's Conference was the Rector of University of Sarajevo, with a mandate of one year.

In 2000, responsibility for higher education was transferred from the Office of the High Representative (OHR) to the Organization for Security and Coordination in Europe (OSCE). A main objective of OSCE's assistance within the field of BiH higher education was to supervise the University reform process. According to the OSCE, University reform in particular was envisaged to ensure that BiH Universities would⁴¹: gain autonomy in terms of political interference, be accountable to their stakeholders, ensure transparent and accountable student admission process, develop study programs with a focus on employability for the graduate students, use teaching methods in order to develop students' creativity, regulate exam procedures correctly, and enable professors to carry out research work related to the country's needs.

A brief overview of involvement of international agencies in higher education shows how their agenda was shifting from physical reconstruction after the war to a reform of the higher education system. Without diminishing the IC's intentions and efforts, it has been argued that existing organizational structures need to be considered when reforms of higher education are designed by international agencies in a normative manner based on current international trends (Temple, 2002; Tiplic & Welle-Strand, 2006; Weber, 2006). This 'one size fits all' approach is not necessarily productive for the development of BiH higher education (Tiplic & Welle-

⁴¹ This information is accessed on OSCE's website (www.oscebih.org) on 12 January 2005

Strand, 2006). In addition, some international organizations have designed scholarships for BiH postgraduate students in a manner that fits their own objectives rather than taking the conditions at BiH Universities into consideration (Weber, 2006). However, one of the main drivers for IC's involvement is considered to be a pressure from the rest of Europe for the harmonization of European Higher Education.

6.3 External Pressures

The 1990s have witnessed a dramatic expansion of higher education across continents in general, and in Europe in particular. As higher education started to take on a global dimension, the need to increase the international competitiveness of the European system (The Bologna Declaration, 1999) has been recognized. As a result, European cooperation in higher education has been increasing on two levels: University and government. These efforts paved the way for a joint action to develop a European dimension of higher education.

Originally signed by twenty-nine countries in 1999, the number of Bologna Declaration signatories has gradually increased. BiH joined the signatories in September 2003 and thereby became one of forty countries that had signed the Declaration at that time. Since 1999, the European ministers of education of the Bologna member countries meet every two years, in order to discuss and compare results achieved in various European higher education systems, as well as to provide guidelines for the new developments of EHEA.

Examination of the "Bologna Declaration Explanation" document, prepared by the Confederation of EU's Rectors' Conference and Association of European Universities (CRE)⁴² reveals a striking paradox. The Bologna Process is interpreted as a freely taken commitment of individual member countries, while at the same time emphasizing that "any pressures individual countries and higher education institutions may feel could only result from their ignoring increasingly common features or staying outside the main stream of change" (EU Rectors' Conference and CRE⁴³, 2000). Such a statement may be understood as a clear signal for higher education institutions, like those of BiH, that they have reached a 'point of no return'. For those not respecting the guidelines specified in the Bologna discourse, it may be extremely costly in the long term.

At a time when BiH Universities are attempting to reconstruct internally, these external happenings contribute to yet another level of complexity. At

⁴² These two bodies have merged into the European University Association (EUA) with a headquarter in Brussels, Belgium.

the system level, for instance, BiH higher education used to be located in a 'planned' economy and existed in a context of stable funding. However, a fragmented institutional pattern and existence of thirteen local Ministries of Education represent the current context of BiH higher education. At the institutional level, the organization of BiH Universities' is distributed across the faculties, representing an extreme case of a fragmented organization. This 'identity crisis', faced by BiH universities both internally and externally, means that the reforms required by the Bologna Declaration have to be seen as a major challenge, not at least due to the influence of external pressures, problems concerning ownership of reform, the existing organizational structures, and the motivation of individuals affiliated to BiH Universities for reform.

Based on the previous overview of inherited values and external pressures for change, a number of obstacles and challenges in the present system are recognized and reported. A brief look into some of these reports is provided in the subsequent section.

6.4 Obstacles and Challenges in the present Higher Education System

A number of reports and studies identified current obstacles and challenges in the BiH higher education system. Benedek (2003) claimed that European 'standards' in higher education are seen rather as a quality issue (e.g. study program, teachers rating, how higher education is organized) than as a quantity issue (e.g. equipment per faculty or students per teacher). As a result, BiH is scoring well above international standards in terms of the teaching hours, whereas it is behind the international trend in terms of the teaching methodology (Benedek, 2003). Benedek also gives the following as problematic and representing shortcomings in BiH higher education: the fragmentation of higher education as a result of the Dayton Peace Agreement, the rigidity of structures, remaining hierarchical approach in relations between teaching staff and students, uncompleted physical reconstruction of some faculty buildings, neglect of higher education by both the IC and the national community, and the ongoing brain-drain.

In their study of internal and external evaluation of five Faculties of Medicine in BiH (Banja Luka, Foca/East Sarajevo, Mostar, Sarajevo and Tuzla), Simunovic *et al.* (2006) collected data from management, staff and students, as well as from external expert assessors. Their findings show that management and development plans received poor scores from external evaluators. The authors interpret these findings as "the reflection of the specific heritage from the previous political system, where development plans were never taken seriously because communist governments had

always used planned production but rarely achieved the set goals” (pp. 9). In addition, findings show that faculties are not able to differentiate well enough between ‘staff’ and ‘management’. This is explained by two factors: a lack of management education and resources; and both professors and department heads having a lot of power and independence. Moreover, the study shows that this is also a reflection of the loose structure of the BiH Universities, where the majority of individual faculties are both financially and organizationally independent. Some general recommendations emerged from this study: defining clear mission statements and educational objectives; creating full time positions for coordinators of teaching and research; improving financial management approach; to establishing coherent examination policies.

A comparative evaluation of the BiH higher education institutions took place in autumn 2003, when the European University Association (EUA) conducted an institutional evaluation of seven BiH universities. Their findings are reported in the document “EUA Institutional Evaluations of Seven BiH’s Universities: Cross-cutting Summary Report”. The main underlying concern in the report relates to the lack of a national coherent legal framework. Universities to a large extent remain as loosely coupled associations of faculties⁴⁴, and this is seen as the main obstacle in introducing rapid reform in accordance with the Bologna model. Although all Universities conduct self-evaluation reports, it has been reported that there is both a lack of essential tools and a lack of experience for quality assurance⁴⁵. Being not only a central component in the Bologna process, but also a key aspect of academic work and University existence, quality assurance provides answers to fundamental questions related to the University’s day-to-day life. Currently BiH Universities lack a link between Institutional Development Plans, strategic management, and quality assurance (EUA, 2004). Furthermore, the Universities lack effective monitoring systems and student feedback mechanisms. One of the main preconditions for improving quality assurance would be to increase the scope of university cooperation. In a similar vein, Tiplic and Welle-Strand (2006) recognized issues of quality and governance as of the utmost importance for system development.

In an attempt to delimit the ‘idea of university’ and what constitutes a ‘modern university’ in BiH, Filipovic (2005) reported the present state of higher education as being retarded in its development and emphasized its functions as being merely the re-production instead of the production of knowledge. In addition, he criticized the present lack of an ‘official’

⁴⁴ with the exception of the integrated University in Tuzla, and later on in Zenica

⁴⁵ such as University-wide data

approach to higher education reforms resulting with the reform of higher education depending on individuals and their willingness to act, as well as on the level of engagement of the IC. As long as a University organization remains to be arranged by the lowest governance levels (i.e. cantons in the FBiH and the government of RS), the present system will remain in deep crisis, which cannot be resolved simply by the formal introduction of some so-called important educational innovations, such as the 'mechanical' application of the Bologna study model (Filipovic, 2005). On the contrary, he predicts that such an approach (i.e. copying solutions from other countries) would only worsen an already alarming situation, since the necessary and adequate conditions for such system to become self-sustainable are not present.

In summing up, several observations with regard to the actual ongoing reform processes in BiH higher education system are made. First, post-1995, post-socialist reforms in BiH and its higher education can not ignore global and European developments. A number of economic difficulties and frustrations were seen as having a strong influence on the region, so that it became highly receptive to solutions that would allow it to catch up with rest of Europe. Second, what is taken to be the common European higher education policy is the so called Bologna process, which aims at creating greater compatibility between the higher education systems in Europe, was signed up to. The difficulties of implementing such a program are seen, for instance, in the wide variety of traditions and status attached to particular types of institutions that are not easily overcome by decrees and arrangements. Third, higher education reform, as taking place in BiH, is partly guided by external international agencies that are sometimes seen as highly technocratic in their approach. For example, the 'transplantation' of policies only loosely related to local needs and contexts can be seen only as political opportunism, and not as an extensive, long-lasting and self-sustainable framework for the further development of higher education institutions and systems. Fourth, one way to understand recent developments in BiH higher education is to see them in the context of local governments exercising their rights to control, even to the point of founding, higher education institutions. BiH higher education has been expanding in two ways: existing institutions admitting growing number of students and new institutions are being established. Rational behavior of existing Universities is seen in their ability to charge tuition fees for students over and above the quota for students fixed by local government, and to create 'new' faculties and study programs in relation to local student demand.

In the following sections, once the economic, political, social and ideological environments have been outlined, University organizational trends are analyzed. Such analyses are considered necessary in order to understand how

ideological concepts are implemented in an organization, and to reveal any inconsistencies between constraints of the organizational structure and requirements of the changing environment.

6.5 Organizational trends in BiH Higher Education

As already outlined, prior to 1992, the BiH higher education sector was well-defined and organizations within it relatively homogeneous in terms of their legal status and the complexity of their responsibilities. By the late 1990s, the majority of the cantons' laws on higher education had been inherited from the ex-Yugoslav higher education system and remained unaltered to a large extent, with two exceptions: the authority over higher education became the Canton (in the FBiH) or the divisional government (in the RS); and Governing Boards were established at both the University and faculty levels, replacing the Self-Management Communities of Interest. The majority of Governing Board members were appointed by Cantons' Ministries of Education, which in turn provided the political control of these Ministries. The Governing Boards are influential, since they are responsible for appointing Rectors and Deans from candidates put forward by the Universities' Senates and the faculties' Scientific-Teaching Councils. In addition, they make decision on financial issues, organizational structure issues, and establishment of new study programs. Two out of the ten BiH's Cantons altered the Higher Education Law: the Canton of Tuzla in 1999, and the Canton of Zenica in 2005. Consequently, they regulated interuniversity affairs into a model of the integrated University, aiming at more centralized University organization, with discretion of authority lifted from the faculty levels to the Rectorate Office.

Two Universities were selected for data collection in this study: the University of Sarajevo, with more traditional organizational structure, and the University of Tuzla, with more modernized organizational structure. In the early 2000s, the two organizations that are the subject of this study produced Institutional Development Plans and Reorganization Plans, and started the process of higher education reforms. Prior to presenting and analyzing data from the two University organizations, an attempt is made here to capture and describe the beginnings and ends of change (Denis *et al.*, 1996). This is done by using the notion of 'archetypes' (Hinings and Greenwood, 1988). As described in Chapter 5, three procedures have been chosen in determining the two organizational archetypes: context documentary analysis, interviews with key actors and the analysis of organizational documents. The rationale for using the archetype as an analytical tool for defining organizational trends in BiH higher education in general and in the two University organizations in particular is considered plausible due to two reasons. First, the 'departure' archetype had prevailed

as an organizing template for almost five decades, from 1949 to 1992, and can be considered as a beginning point of the change process. Second, the ‘desired’ archetype represents a main driver of the change process after 1999 and captures the organizational members’ interpretations of what kind of organization a University should be. As a result, the two Universities studied are considered as being in an inter-archetype stage.

From the data, two archetypes have emerged: the Fragmented University and the Integrated University. Table 6.2 summarizes main characteristics of the two archetypes.

Table 6.2 Components of two University archetypes

| | Archetype 1: Fragmented University | Archetype 2: Integrated University |
|--|---|--|
| 1. Interpretive scheme | HERITAGE | MODERN |
| A. Domain | Instrumental, legally-prescribed role, teaching-oriented | Market- and student- oriented, accredited, research and teaching combined |
| B. Organizing principle | Self-management, political links ensure resources | Integrative and rationalized form |
| C. Evaluation criteria | Lack of accountability and performance measures | Emphasis on quality, competitiveness, interdisciplinarity, internationalization, regionalization and marketing |
| 2. Organizational Design | LOOSELY-COUPLED | CENTRALIZED |
| A. Systems of roles and responsibilities | Lack of institutional autonomy, low cooperation, low responsibility of members, multiplication of roles | Active management, high integration, high responsibilities of members, profit centers |
| B. Decision mechanisms | Parallel decision processes | Centralized decision processes, institutional freedom |
| C. Human resource management | Negative selection | Recruitment based on competence, life-long learning |

6.5.1 Archetype 1: Fragmented University

Since its establishment, the objectives of BiH higher education have focused mainly on the preparation of young people for work and life in a socialist industrial society (Soljan, 1991). In the period 1949-1992, BiH higher education institutions operated in a highly institutionalized environment

characterized by rigid legislation. The government, as founder of such institutions, was in a position to define their mandate and rationale. Therefore, institutions of higher education became the main carriers of the cultural mission: to educate young people for a socialist society.

The Fragmented University Archetype demonstrates the main characteristics of the higher education system inherited by BiH higher education institutions in the 1990s. The associated interpretative scheme can be referred to as 'Heritage' and the organizational design 'Loose Coupling'. In the Heritage interpretive scheme, five institutional values have been identified from documents and literature: instrumental and legally prescribed role of higher education institutions; teaching-oriented institutions; self-management; political links ensuring resources; lack of accountability and quality measures. Table 6.3 provides illustrations of these values.

Table 6.3 Fragmented University archetype: Values

| Values | Selected Examples |
|---------------------------------------|---|
| Instrumental, legally prescribed role | <p>I. University role is "...to bring up and educate students on the principles of Marxism and Leninism and to develop love and commitment towards the socialist motherland Federative People Republic of Yugoslavia" (University of Sarajevo, 1979: 15)</p> <p>II. "Due to insufficient self-reflection, [the University] failed to create its own image and thus changed less for internal reasons and more out of external need." (Kump, 1998: 157)</p> |
| Teaching-oriented institutions | <p>I. "The University function of teaching and learning within numerous disciplines was separated from the basic, theoretical forms of scientific and research work...The principal task of the University was vocational education, while scientific research work stagnated and was performed in separate, state founded, independent research institutes." (Kump, 1998: 157)</p> <p>II. "There are many reasons to claim that Yugoslav Universities have failed to develop an active, working relationship with the[se] research institutions (institutes and centers), in spite of verbal support for the idea that leading researchers should be brought into teaching.... An inadequate organization of research and teaching and in a rigid system of financing are the reasons for this." (Soljan, 1991: 145)</p> |
| Self-management | <p>I. "...the Professional and administrative staff of Self-Managed Communities of Interest, rather than the delegates of the institutions of higher learning and the economy, have assumed the dominant role. Initially established as professional back-up services, these bureaucracies gradually acquired a degree of autonomy that enabled them to influence</p> |

| | |
|------------------------------------|--|
| | decisively the planning process and its outcome...social and political bodies and corporations have interfered in purely academic affairs.” (Soljan, 1991: 142) |
| Political links ensuring resources | I. “Heterogeneity and the further fragmentation of the University enabled the political powers to manipulate the University.” (Kump, 1998: 157) |
| Lack of accountability and quality | I. “The University had uniform state standards enforced upon it (the emphasis was on efficiency, not on quality), which did not correspond to the nature of academic work and which did not consider the extreme heterogeneity of the university, the nature of certain disciplines and the historical creation of individual institutions as well... [There was] the absence of systematic mechanisms for ensuring the quality of university work.” (Kump, 1998: 157) |

The Heritage interpretive scheme is reviewed on a basis of the shortcomings of a centrally planned economy in the field of higher education and research analyzed by Uvalic-Trumbic (1990: 403): a) the concept of career-oriented education, introduced by the 1974 Education Reform; b) the system of financing higher education through ‘Self-Managed Communities of Interest’; and c) the distinctive separation of teaching and research functions. As a result, the University became mostly engaged in the transmission of the existing knowledge to new generations, but its creative output continually declined (Kump, 1998).

There are several structural characteristics associated with these five institutional values: lack of institutional autonomy, low cooperation, low responsibility of members, the multiplication of roles, parallel decision making and negative selection. Table 6.4 provides illustrations of structural characteristics reviewed in the organizational documents and literature.

Table 6.4 Fragmented University archetype: Structural characteristics

| Structural characteristics | Selected Examples |
|--|---|
| Lack of autonomy, Low cooperation, Low responsibility of members, Multiplication of roles | <p>I. "The influence of the Universities and their member institutions on the self-managing planning process has been considerably weakened since 1974, with individual faculties acting as separate parts of a disintegrated University organism." (Soljan, 1991: 142)</p> <p>II. "[There was] the disintegration of the University into isolated parts with very low levels of cooperation and communication." (Kump, 1998: 157)</p> <p>III. "Existing structure allows neither University governance nor its functioning as a system. The university operates as many unfinished units. There are no governing mechanisms. Canton has authority over higher education and faculties. The University has no autonomy and no impact at a governance level." (#15 Rector)</p> |
| Parallel decision processes | I. "We have 23 faculties, 23 Governing Boards, and each faculty makes its own development strategy." (#20 General Secretary) |
| Negative selection | <p>I. "Negative selection came about in academic habilitation procedures. In the selection of University employees, political suitability or loyalty frequently had greater significance than academic liability." (Kump, 1998: 157)</p> <p>II. "Faculty's Governing Board appoints a Dean. It is a link between the government and faculty. Governing Board has a role of a Supervisory Board and is responsible for legality of faculty's work. It is an important role implemented by the Governing Board. But in our circumstances, there is a dysfunction in appointing members of the Governing Board. They are mainly politically active..." (#16 Dean)</p> |

What is evident from the Fragmented University archetype is the presence of ideological and political presuppositions related to the regulation of higher education. These presuppositions were mainly based on the self-management principle of organization. As a result, the University never had control over its professional and organizational structure.

6.5.2 Archetype 2: Integrated University

The Integrated University archetype relates to a modern institution of higher learning. Values of such an institution are notable in the rhetoric of organizational documents, political institutions responsible for BiH higher

education, and key organizational members. Table 6.5 summarizes selected examples of these values.

Table 6.5 Integrated University archetype: Values

| Values | Selected Examples |
|---|--|
| Market- and student- oriented, accredited institutions of higher learning, research and teaching combined | <p>I. The University of Sarajevo Campus Development Plan⁴⁶ summarizes the overall goals for the new campus as follows: to reestablish the University of Sarajevo in the center of the cultural and intellectual life of BiH; to reorganize the University as multidisciplinary and interdisciplinary institution centered and consolidated on one campus; to provide teaching facilities which are of international quality and amenable to growth and change.</p> <p>II. “The University of Sarajevo faces the challenge of defining its mission, vision, strategy and other elementary documents, which are in accordance with the development of BiH society and which are directed to the European integration and globalization processes. These strategic documents should be the result of unified thinking by the whole University community and other pertinent factors of society. Therefore, the University of Sarajevo decided to take the initiative to assure its deserved position in the academic environment.” (University of Sarajevo, 2003: 3)</p> <p>III. “Since there was no increase in governmental funding, we have decided to ‘throw University on the market’.... Today we have ratio of governmental funding vs. earned income 60:40. ... In future, we should establish a price per student and present this to the government. This approach would have two positive effects: government would know how its money is spent, and the University would have better control of its budget. This would also contribute to better student achievements, since professors would pay more attention to increase a percentage of students that pass their exams. If we compare it with production (even though it may not be an appropriate comparison), then we would try to produce better results.” (#26 Rector)</p> <p>IV. “An Agency for Accreditation is very important. The lack of such an agency is suicidal for higher education. For me, it is not only important that I am good, other higher education institutions that are accredited have to be good. Otherwise, the whole system will be distorted. ... There has</p> |

⁴⁶ Information retrieved from the University’s website:
http://www.unsa.ba/mapa1/chapter1/1_intro.doc accessed on 15 November 2005

| | |
|---|---|
| | to be a system and a law to regulate such things.” (# 16 Dean) |
| Integrative and rationalized form | I. “The first and essential principle of organization and functioning of the modern University is its rationalized structure, which would guarantee optimal results and minimum losses in working processes, leading to the increased efficiency. The second principle for the University organization is its effectiveness and productivity, in order to achieve the most convenient ratio between involved resources and human work. In other words, it seeks to improve effects of the University’s work per a production unit - per one qualitatively educated young specialist and per every relevant result in knowledge production in all disciplines (Filipovic, 2005: 35, translation provided). |
| Emphasis on quality, competitiveness, interdisciplinarity, internationalization, regionalization, marketing | <p>I. “Lifting educational, scientific and research level and knowledge, harmonization of syllabi, unification of faculty in terms of interdisciplinary needs, unification of employees to research multidisciplinary and interdisciplinary,... We want to be a pan-European University. Science and knowledge have no borders.” (#12 Rector)</p> <p>II. “The third principle of the modern University’s organization is to achieve ambitious goals related to a quality of its work and strict requirements to all participants in the scientific-teaching education work.” (Filipovic, 2005: 35, translation provided).</p> <p>IV. “This year we had the fourth consecutive University Fair, or so called the ‘Open University’ days. Why we do it? First, we think that we have to teach our faculties about some type of public relations (PR) culture, competitiveness and professional relationship to a future student, to compete for every student, to present their programs, to be more serious and more competitive.” (#18 General Secretary)</p> |

These values are also emphasized in the two Universities’ Institutional Development Plans. In 2003, the University of Tuzla issued a strategic plan emphasizing its main strategic objectives: autonomy of the University, financial autonomy, establishment of life-long learning, radical curricula reform and modifications in accordance with European experiences and trends (University of Tuzla, 2003a). This Plan further addresses the reform of teaching by focusing on students and interactive learning, use of Information Technology (IT), and developing quality assurance. Finally, a considerable amount of further activities directed towards establishing a new partnership with the economic enterprises, government, non-governmental organizations, as well as other educational, civilian and

cultural institutions. The Plan pays a particular attention to cooperation with other Universities, country-wide and internationally, in order to increase a quality of research.

The Institutional Development Plan of the University of Sarajevo lists its aspirations as: to be the main provider of permanent education system by advancing postgraduate programs (academic, scientific and professional) relevant for BiH's socio-economic development, and, at the same time, to be an attractive and competitive provider of higher education in Europe (University of Sarajevo, 2003: 17). In addition, the Institutional Development Plan emphasized the need for the development of a strong and recognizable set of academic, scientific and artistic activities, in order to secure a key place in the country for the development of evaluation models and quality assurance in higher education. Another area of importance was defined as the development of undergraduate and postgraduate interdisciplinary studies (University of Sarajevo, 2003: 17). This reference to 'the key roles' is an indication of the University of Sarajevo's aspirations to feature on the list of national priorities in helping to develop a new set of societal values.

Structural characteristics that are related to these values are also evident in the organizations' documents and the key organizational members understanding. For instance, interviewees frequently expressed a shift in roles and responsibilities of both Deans and Rectors, who are forced to act in a managerial manner. Furthermore, a rationalization of University organization is often mentioned in relation to the key actors at the central level, i.e. the Rectorate office. Selected examples are shown in Table 6.6.

Table 6.6 Integrated University archetype: Structural characteristics

| Structural characteristics | Selected Examples |
|---|--|
| Active management, high integration, high responsibility of members, profit centers | <p>I. "There is no dilemma that a Rector of the integrated University has to be a manager. During our reorganization planning process, when we have been considering what should be changed, we have been thinking about having a dual structure, an Honorary Rector, preoccupied mainly with the academic affairs, and a University Director for economic affairs. The Director would follow our model, not his own. My opinion is that such a structure would be a significant step towards better efficiency... University support services should also be 'thrown' on the market..." (#26 Rector)</p> <p>II. "We must have some production functions, and we need some research, and profit centers. A University without research is not a University. Only a combination of teaching</p> |

| | |
|---|---|
| | and research can produce good results.” (#12 Rector) |
| Centralized decision processes, institutional freedom | <p>I. “Institutional autonomy implies that the University has more decision-making freedom, but at the same time, it is more accountable... This autonomy is then transferred from University to every faculty-major-discipline-individual. ... Also there is a financial autonomy, meaning that if the University acquires some financial means, then it should also have a freedom to dispose of these means – transparently, so that it could be controlled by government. In academic terms, we have an absolute autonomy.” (#1 Rector)</p> <p>II. “Faculties would receive their budget through the University in some way and that would be more rational, since we would have one tender for equipment purchase and repro-material. Everything would be much cheaper. In addition, we would have one planned development strategy for the whole University. The Rector would be the leader of the University, we would have some mutual technical services, all staff would be employed by the University not faculties, announcements would be provided by a separate service, etc. This means that Deans would loose some of their power.” (#18 General Secretary)</p> |
| Recruitment based on competence, life-long learning | <p>I. “The University provides scholarships for those students with the best grades. Assistant professors also get financial support for Master and PhD studies. In so doing, we have increased our academic staff and at the same time improved the age structure, so that some elderly professors could leave naturally and go into retirement.” (#12 Rector)</p> <p>II. “If I have had a longer and different mandate, I would certainly choose my associates according to their level of competence....This year, 30 of our professors will participate in the Program for Teacher’s Development, in cooperation with the Canadian Agency for Development SIDA.... I also attended this training...I suggested this to the Rector and the next group of 10 will be from the University level.” (#16 Dean)</p> |

6.6 Summary

In this study, the processes of change and their management are explored in a setting characterized by profound institutional and ideological uncertainty in times of change. BiH higher education institutions were established, and operated for several decades, within the larger Yugoslav higher education sector. During this period, Universities were organized on the basis of self-management. For a period of almost five decades, these higher education

institutions operated in a highly institutionalized environment imposed on them at different times by Government and Self-Managing Communities of Interest. The main mission of higher education was the cultural mission to educate 'young socialist'. Deviation from this cultural mission in later developments of the higher education system can be seen in light of institutional change.

In the 1990s, given the global trend away from socialist modes of organization and especially the principle of self-management, the situation changed dramatically. One factor that complicated the whole situation even more was the war of 1992-1995. As a result, the mission of universities in the period of 1992-1995 was simply to survive. After 1995, universities were put under the jurisdiction of the local⁴⁷ government bodies. Several distinctive features of higher education have emerged. At the system level, there is a high degree of decentralization of funding and control, lack of a national policy or strategy, strong institutional attachment to local levels of governance (i.e. cantons, the FBiH and the RS), and stagnation of system development in the broader sense. At institutional level, on the other hand, there is the challenge of a significant brain-drain, increased number of students, and the legacy of self-management that resulted with the fragmentation in organizational structure.

BiH Universities enable the study of a clash between the remaining self-management ideology and its strong imprint on the organizations on the one hand, and the penetration of a wider (European) environment into the internal context on the other. Environmental change can be described by looking at external demands for harmonizing and joining the EHEA by 2010. European standards in higher education are being set and require action. Therefore, recent reform initiatives invested in the higher education sector have as an overall aim the modernization of teaching and learning processes, the harmonization of curriculum content with those prevailing in the rest of Europe, and the construction of formal organization. All these have to be achieved in order to fulfil criteria for the eventual accreditation of these higher education institutions.

At the beginning of 2000s, a tendency for a shift in interpretive schemes produced tension between the different organizational trends in higher education. The concept of archetypes has been used to describe the two archetypes: the Fragmented University and the Integrated University. The Fragmented University archetype conceives organizations as vehicles for the delivery of higher education by delivering legally prescribed services. It

⁴⁷ Divisions', cantons' and district's governments that have emerged as a consequence of the Dayton Peace Agreement in the post-1995 BiH.

refers to the pre-1995 'departure' university model. The Integrated University archetype, in contrast, emphasizes the organization as an independent, service- oriented organization, which is capable of managing its own affairs, is responsible for the quality of its services, and is competitive on the education market. This archetype refers to the 'desired', modern University model. These alternatives are based on different criteria of evaluation and accountability.

The two sets of values (Heritage and Modern) are translated into structures and systems, thus constituting archetypes. In the Heritage interpretive scheme, there is no departmental model of University organization, but rather loose associations of faculties under the University's umbrella. Here, the academic community is divided among various faculties and is managed by intermediary bureaucracies. In the Modern interpretive scheme, institutions have more freedom, which also implies more responsibility. In this concept, decision making and planning takes place centrally and the academic community is more integrated. Organizational members are more involved in managing their own affairs, both academic and administrative.

The claim made by this chapter is that the two archetypes represent ideal organizational types of what has been 'before' and what is desired in the 'future' higher education system. The two subsequent chapters will present and analyze data from the two university organizations that are the focus of this study and which are considered to be oscillating between archetypes in the inter-archetype stage.

7. University of Sarajevo

This chapter aims at presenting and analyzing data from the University of Sarajevo. Following general background information, a narrative of change is presented. This is achieved through a summary of the collective decisions, conclusions and initiatives of the University Senate, as well as their consequences at the organizational and institutional levels (i.e. symbolic, substantive and institutional change outcomes). Therefore, the narrative involves multilevel data: strategic (i.e. Senate), organizational and institutional. The last two sections present and analyze conditions under which change initiatives took place, and discuss the behavior of influential individuals in initiating strategic change.

7.1 Background

The University of Sarajevo is a loose association of twenty-three faculties, academies, and University colleges. These University members are mainly distributed around the city of Sarajevo, although a ten-year old Campus Project⁴⁸ has begun to bring some physical cohesion within the last two years. However, the loose association of the faculties and academies is also the result of every faculty and academy being a separate legal body with their own strategic plan, budget, and objectives⁴⁹. Information availability is a good example of what is meant by this decentralized and loosely coupled organizational design. For instance, statistical data about the number of students and employees, as well as their demographics characteristics, are not available at the University level. In order to get this information, every faculty has to be contacted separately and, as there is no predefined data collection profile, there can be inconsistencies in reporting the aggregated data. However, the Federal Statistical Bureau's reports show that there has been a tendency towards increasing number of students, with 22,614 reported for the academic year 1997/1998 and 33,195 for 2005/2006 (Federal Statistical Bureau, 2006). Paradoxically, the number⁵⁰ of teachers

⁴⁸ In 1995, the Government of FBiH allocated premises of the previous Military Barracks located in the town center for a purpose of building the University Campus

⁴⁹ This situation has been changed when a new Umbrella Higher Education Law came into force in 2007, stipulating only a legal status of the University, whereby faculties and academies to remain as University's organizational units and not as separate legal bodies. However, this study did not account for changes in this new Law that are introduced after the research period was completed.

⁵⁰ Note: University reported data on the total number of students and employees in 2006 differ from those mentioned in the Federal Statistics data.

and instructors decreased from 1772 in 1998/1999 (Federal Statistical Bureau, 1999) to 1250 in 2005/2006 (Federal Statistical Bureau, 2006).

For more than forty years, from its establishment in 1949 until 1991, the development of the University of Sarajevo and its respective faculties and academies became a role model for other BiH Universities and Faculties with regard to organizing, teaching and learning, as well as curricula building. In 1976, three other Universities were established as 'regional branches' of the University of Sarajevo in the three respective regions: Banja Luka, Mostar, and Tuzla. As the oldest and largest BiH University, it was not difficult for the University of Sarajevo to maintain a public image of being an object of a 'national' interest, and therefore, a governmental tool for educating youngsters on the basis of socialist ideological thoughts and principles of self-management. Since its establishment, the identity of University of Sarajevo was based on the prevailing ideology and the fact that within BiH borders there was no rival higher education institution sufficiently competitive to take the lead on the list of national priorities in education.

The University's monograph of 1994 summarized activities that the BiH's Academy of Science and Art had undertaken in order to establish the new concept of the University of Sarajevo in the beginning of 1990s. This was part of the "Model of the Modern University" project that had been established by the BiH's Ministry of Education, Science and Culture (which was still operating before the Dayton Peace Agreement was signed in 1995) and the University of Sarajevo. The overall goal of this concept was to elaborate upon "the highest level of the scientific work, research and teaching based on the maximally efficient University organization, in accordance with the contemporary European and world standards adapted to the needs of BiH" (University of Sarajevo, 1994: 54). This resulted in six main recommendations for improvement:

- raising the quality of teaching, research, scientific and artistic work;
- greater flexibility in study selection;
- more efficient University organization;
- securing the University's status and its autonomy;
- determining tuition fees and funding (University of Sarajevo, 1994).

However, the post-Dayton administration disbanded the Ministry of Education, Science and Culture, and the University fell under the jurisdiction of the Canton Sarajevo, one of the ten Cantons in the Federation BiH.

Today, one of major challenges faced by the University is scarcity of resources (EUA, 2004). Sarajevo Canton⁵¹ is responsible for the University's funding and, on *average*, provides 60% of budget funds (University of Sarajevo, 2004: 10). Emphasis here is on 'average', since budget profiles (i.e. Canton's governmental budget vs. budget generated from tuition fees) differ for different faculties and academies. The above mentioned ratio may be 75:25 in favor of the budget generated from tuition fees for some faculties (University of Sarajevo, 2004). As a result, a distinction needs to be made between so called 'self-sustainable' faculties not depending on reduced governmental due to popularity of their courses (e.g. Faculty of Economics), and 'other' faculties that do not have opportunity to sell their courses. A major financial issue at the University level is the expenses of the Rectorate, which have to be approved by a seven-member University Governing Board appointed by the founder (i.e. Canton). At the faculty level, the same governance logic prevails. Each faculty has its own Governing Board, since faculties are legal bodies. The only difference is that Deans exercise higher financial autonomy than the Rector, since every faculty possess its own budget provided by the Canton. In addition, Deans are engaged in both academic and managerial activities.

The supreme academic body is the University's Senate. It consists of the Rector, Vice Rectors, Deans, and selected representatives from each faculty. The Senate is responsible for elections, re-elections, and verification of decisions made by faculties' Scientific-Teaching Councils. In addition, it is in charge of syllabi and curricula approvals, as well as appointment of committees for doctoral dissertations. All material for Senate meetings is provided by so called Groups, of which there are six at the University of Sarajevo: the Group of Social Sciences, of Natural Sciences and Mathematics, of Humanities, of Medical Sciences, of Technical Sciences, and of Art Sciences. These Groups are seen as a sort of Pre-Senate, or as small Senates, which gather and represent groups of similar disciplines.

An elected University Senate meets on a monthly basis to discuss and make decisions on academic matters. Rule-making processes in the Senate are highly structured with well-established procedures. Most proposals for change are referred on to ad hoc committees, and to a smaller number of standing committees and subcommittees. There are several operational tasks⁵² performed by the Senate on a regular basis, such as:

a) to agree with announcements for enrollment of new generations on postgraduate studies;

⁵¹ As already mentioned, University were put under jurisdiction of the divisional and Canton's governments after 1995

⁵² These tasks are identified by an insight into the Senate's memos.

- b) to appoint committees for the promotion and appointment of the academic staff, for the evaluation of PhD topics and the assessment of PhD theses, for the verification of foreign diplomas and equivalency of school certificates, and for allocation of the professor emeritus title, and so on;
- c) to approve University's publications as suggested by the Publication Council;
- d) to approve proposals made by faculties and academies for their curricula development and change;
- e) to verify interuniversity cooperation agreements.

For instance, from 2004 to 2006, the University appointed 14 committees for verification of foreign diplomas, published 51 textbooks and other teaching material, and signed 11 agreements of interuniversity cooperation. All the above mentioned tasks emphasize a role that the University Senate has with regard to verification of academic issues.

7.2 Pattern of Change: Events and Outcomes

This section presents the narrative of change. The narrative consists of short stories presented in a chronological order. A purpose of this narrative is twofold: to present chronological order of change initiatives that took place at the Senate meetings, and to analyze the change initiatives by indicating change outcomes that were results of the identified initiatives. More specifically, the events involve conclusions and actions at the strategic (Senate) level, which in turn had consequences for the organizational and institutional levels (see Appendix 7 for a list of main events and their consequences). The consequences felt at the organizational and institutional levels are considered as change outcomes and are classified as symbolic, substantive and institutional outcomes. Symbolic change outcomes represent changes in organizational missions and plans. Substantive change outcomes represent changes in organizational design, or restructuring. Institutional change outcomes represent changes in policies and respective regulations. The experiences of organizational members and their explanations relevant to these events are also included. Table 7.1 summarizes the framework used to interpret these events and experiences.

Table 7.1 Data structure for dimension: Outcomes of Change, University of Sarajevo

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|--|----------------------------------|----------------------|
| Initiatives | Overload of Initiatives | Outcomes of Change |
| <i>Organizational histories of initiatives</i> ⁵³ | | |
| Organization of teaching | Emergence of multiple structures | |
| Interdependence | | |
| Rewriting | Imitation | |
| Copying | | |

By so doing, this section provides a story of the organized change pattern of the University of Sarajevo during the research period. This story is anchored in the strategic (i.e. Senate's) level data.

Before June 2004

From 1995 until June 2004, the University of Sarajevo, or more correctly, some of the faculties affiliated to the University, implemented a number of externally funded projects. For instance, in 1996, BiH needed to be connected to the Internet and the University of Sarajevo, or its Faculty of Electrical Engineering, was given the responsibility for providing staff and for technical implementation. Funding was provided by the Soros Organization and the Netherlands Government. As a result, the University Tele-Informatics Center (UTIC) was established as a separate organizational unit aimed at the development of an academic and University network.

Other projects aimed at improving conditions for management of these institutions. For instance, in 2003, the University of Sarajevo was allocated funding from the World Bank (WB) to produce an Institutional Development Plan for 2003-2008. In the same year, a WB-funded project "Development of Information Technologies at the University of Sarajevo" was also established. Moreover, the University and faculties participated in several projects within the Tempus' Program⁵⁴. As a result, the Rectorate Office became involved in implementation of the 2003-2006 "University Management" project that aimed at establishing a new organizational structure in accordance with the Bologna Declaration and at preparing Universities to enter the EHEA. Other two projects, i.e. "Introduction of European Credit Transfer System (ECTS) at the BiH Universities" and "Strengthening Quality Assurance in BiH", were also initiated and implemented during this period.

⁵³ These histories were collected from the Senate meetings' memos

⁵⁴ The information is retrieved from the University web site: <http://www.unsa.ba> (accessed on 5 February 2006)

Despite these projects, this period was also characterized by a strong tendency to maintain the status quo in University organization. A main reason for status quo is considered to be a result of previously mentioned high diversity among different faculties, not at least due to their different budget profiles. Thus apart from some sporadic change initiatives that were the result of a number of externally funded projects, there was a marked lack of internal agreement on change, which would strengthen an integrated University form and the role of the central administration.

June-December 2004: Shift in a Rector's position

This period has been characterized by initializing commitment for reforms. It was done through competitive interpretations of the situation, since, according to some interviewees, the organization has been considered as a 'slow mover' in higher education reform. When a new Rector was finally appointed⁵⁵ in the summer of 2004, the issue of University reform was officially put on the Senate's agenda. The first two issues considered academic reforms, i.e. the introduction of a two-tier study cycle (duration of the Bachelor and Master level studies), and the introduction of the ECTS. In recalling that period, the General Secretary summarized the intentions of the University management thus: "We have entered the academic reforms consciously, since we knew that we could succeed with the academic part of the reform." (#20 General Secretary, theme: Overload of Initiatives, category: Initiatives)

Parallel to the academic reforms was the recognition of the need to prepare a new University Statute (i.e. Rulebook). This recognition was fostered by two factors: dissatisfaction with the present organizational structure is frequently emphasized during the interviews, as well as the Institutional Development Plan (University of Sarajevo, 2003) explicitly states that the present organizational structure is inadequate, and indicates a need for both strategic planning and reforms. As a result, eight committees were appointed by the Senate to prepare a draft of the University Statute. These Committees involved: Committee for reorganization – new organization of the integrated University; Committee for Curricula Reform; Committee for ECTS Introduction; Committee for Organization of Science and Research; Committee for Funding and Organization of Financial Functions; Committee for Reform of Enrollment and Exam Organization; Committee for Establishing the System of Quality Control; and Committee for the

⁵⁵ A procedure for appointing the new Rector mid 2004 needed to be approved by the Office of the High Representative (OHR), due to some claims that it was not regular, since the new Rector had other 'public duties' and in accordance to the Law for Public Officials, it is not possible to hold more than one official office.

University's Information Technology (IT) Solution. The committees' tasks ranged from defining reform subsystems, assisting in preparation of the various parts of the Statute and future Higher Education Law, instructions and rules, to organizing work and assisting committees appointed at faculties and academies. For the purpose of this work, appointment of these committees is considered as a substantive change outcome.

January-June 2005: Initiatives for Change Mobilization and Integration

This period was characterized by two local processes: mobilizing for change and integrating operational areas. Mobilizing for change is illustrated by the Organization of a Round Table Workshop, further activities for the preparation of the University Statute, and the introduction of the 'Home Department'. Home Department is an interesting term, specific for the region as such. It is a literal translation of a local term used to define a discipline and its related sub-disciplines (or a group of interrelated subjects) that need to be hosted by so called 'home faculties'. This term is introduced to avoid fragmentation of subjects and disciplines across the University. For instance, mathematics as a subject is a part of curricula at a number of faculties, including technical, natural science and economics. As a result, in the present University organization, there are as many departments for mathematics as many faculties offer this subject in their curricula. Thus efforts are made to define one faculty (e.g. Faculty of Natural Sciences and Mathematics) as hosting mathematics' Home Department. This Home Department would then employ all mathematics teachers and provide courses in mathematics across the University. Integrating operational areas, another activity recognized in this period, related to a Concept of Unified Publishing, Joint Graduate Promotions and Inter-institutional Cooperation Agreements. The two subsequent sections present in more details these two types of activities.

Round Table Workshop, University Statute and Home Department: Mobilizing for Change

Steps taken by the University of Sarajevo to initiate academic reforms date back to 2005. In March of that year, the Rector suggested organization of a Round Table related to the introduction of ECTS. This suggestion was accepted and supported by the Senate. The Round Table took place at a mountain resort Bjelasnica, near Sarajevo. This event was held over a period of two consecutive days in April 2005. Around 100 academic staff representing all faculties at the University of Sarajevo participated. As the Rector recalls:

There have been different opinions about ECTS at our University. A group of faculties was already engaged in implementing the ECTS, even before the University started with it. They were either a part of some European-funded project, together with some other European

University, or faculties whose professors were residing at some European or American Universities and came back with the ideas about ECTS. In addition, we had the Bologna reform process. (#19 Rector, theme: Overload of Initiatives, category: Initiatives)

After this Round Table, the ECTS Manual was prepared to summarize guidelines for individual organizational members on how to implement the ECTS reform. The ECTS Manual was made available to all teachers and associates for a nominal price. Such efforts were accelerating and motivating for the introduction of ECTS, one of the first objectives of the Bologna Declaration aimed at the harmonization of degrees across European higher education institutions. For the purpose of this study, preparation of the ECTS manual is seen as a symbolic change outcome.

Another important issue for the management of Sarajevo University was to promote further preparation of the University Statute. As a result of the work of the eight committees appointed in 2004, a Draft version of the University Statute was prepared and presented to the Senate. After several rounds of written feedback from the faculties, and following debates by the Senate, suggestions were incorporated into newer versions. The importance of the University Statute Draft has been presented in the following way: “Regardless of which new Law will be introduced, we have already made our Statute, which is comparable to the Statutes of other European Universities engaged in the Bologna process. This Statute requires a new University organization, and a new University autonomy. According to the Statute, the main decision-makers are the Senate and the Rector, and not the minister and the government. Among other changes, faculties will lose their business autonomy, and Home Departments will be put in place.” (19 Rector, theme: Overload of Initiatives, category: Initiatives)

One important point to be drawn from this statement is the symbolic value of the University Statute – it makes the University of Sarajevo comparable with other ‘European’ Universities. It also indicates that other ‘European’ Universities are seen as a role model for the organization of the University of Sarajevo. In addition, emphasis is put on the integrated model of the University. In this study, the University Statute is considered as both symbolic and substantive change outcome.

Recalling this period, when many initiatives took place, one of the Deans commented: “We had several parallel initiatives: one was the initiative for the integrated University and the other was the initiative for reforms in line with the Bologna Declaration. Since these initiatives were parallel, we consider them as a package, although they do not necessarily go together. Hence we discussed everything and made drafts, preparations, contributions

and presentations.” (#16 Dean, theme: Overload of Initiatives, category: Initiatives)

As this Dean pointed out, there have been many initiatives taking place simultaneously. Indeed, at the same time the ECTS has been introduced, discussions started about a new kind of organizational model for teaching called a Home Department model. This initiative remained on the Senate agenda for more than a year. In February 2005, the Rector reported that some faculties had already submitted their proposals and suggestions for a Catalog of Disciplines, which in turn assisted in defining some of the Home Departments. This Catalog was a part of the Document for the Organization of the Integrated University. For the purpose of this work, both documents are seen as a symbolic and substantive change outcome.

The importance of the Home Department was highlighted by the Rector in the following way:

Home Department has two goals. One is an organizational goal, implying more efficient University organization and the gathering of people around Home Departments. In other words, these people would represent teaching and organizational units responsible for certain courses and for the development of a group of courses for the whole University. This in turn would help us to avoid the existing practice that faculties engage professors from other faculties on an honorary basis. Thus Home Department would be an organization teaching unit of the University. That is rationalization, and that is the organizational goal. In addition, we have a substantial goal. We wanted that every Home Department organizes both teaching and research activities. This implies that every Home Department would be responsible for doctoral (PhD) dissertations, master theses, research projects, cooperation with other Universities and institutes within the same field. One Home Department is envisaged to be the focal point for all those working within the same field. (#19 Rector, theme: Emergence of Multiple Structures, category: Organization of Teaching)

In the following months, however, it has been realized that definition of the Home Departments is not an easy task. The Rector stated that suggestions for Home Department prepared by the faculties was poor quality and of no use. Thus he suggested the appointment of a Committee for Defining the Home Department. This Committee of six members, representing the six University Groups, reported back to the Senate and noted some challenges in implementation of its task. To these the Senate made two suggestions: a) departments ought to be associated with the University, and b) administration of the departments should remain with the faculties where the

respective department has a majority of employees. This example illustrates how commitment for change has been mobilized in cases when unsatisfactory results and delays in accelerating reforms were present. The Home Department was an important milestone in initiating the reform process. Home Department represented an effort to achieve not only a more efficient organization, but also synergy of teaching and research. Further, it had a special symbolic value for the new organization. However, its implementation was rather challenging.

Concept of Unified Publishing, Joint Graduate Promotions and Cooperation Agreements: Integrating operational areas

As a part of efforts made in order to integrate some areas of operation under the University umbrella, the Senate agenda has been modified by the introduction of three additional issues in February 2005: a Concept of Unified Publishing, Joint Graduate Promotions, and Cooperation Agreements. In general terms, the Senate members agreed on further elaboration of the Concept of Unified Publishing. The General Secretary explained intended plans with the Concept of Unified Publishing: “We need to keep publishing under control and build an image of University as a publishing house. There should be no larger publisher than a University, since the University can have 300 to 400 books published annually. For the time being, all publishing activities are performed separately, at individual faculties. Thus, this is an integrative function, which is still not in place but if we succeed in mobilizing necessary resources, then we will be able to do it.” (#20 General Secretary, theme: Overload of Initiatives, category: Initiatives)

In addition, the Rector made two suggestions: the need for Joint Graduate Promotions, and a need for sharing information about ongoing faculties’ cooperation agreements at the Senate meetings. Concerning the Rector’s proposal on Joint Graduate Promotions, the Senate decided to organize graduate ceremonies at the University level. These three examples indicate symbolic and substantive change outcomes in gradual integration of some operational areas across the University.

July-December 2005: Building a Commitment

This period was characterized by four types of activity. First, some events symbolized the integrative nature of joint effort, such as a celebration of the first Joint Graduation Day, activities on the Campus building, requests for the University Diploma templates, Rector’s chain and gown, Vice Rectors’ chains and gowns, as well as gowns for Deans, Vice Deans and students. Second, this was a time of suggestions, for example, concerning the introduction of new postgraduate programs, and establishing a University Office for Reforms, aimed at expanding activity domain processes. Third, it was also a time of dissatisfaction, especially with the lack of adequate law

amendments to support reforms related to two particular kinds of initiative: making temporary solutions that would assist in overcoming this lack of regulations; and communicating responsibility on a side of Canton's authorities. Fourth, when developing initiatives of Home Department and Curricula Reform⁵⁶, the University tended to act as an arbiter in cases where solutions were difficult to reach. These four types of events and processes are described below.

Joint Graduation Day, Campus Project, University symbols: Symbolizing University's Unity

As a result of the initiative for Joint Graduate Promotions, the first Joint Graduation Day took place on July 2nd. At the Senate meeting, which was held after this event, the members stated that it was a genuine start of the 'new' unified University. Comments at the meeting underlined the enthusiasm for this event and the feeling that it had demonstrated a unity of staff and students, and that the Rector delivered an inspiring speech.

Another area expected to make a positive contribution to the change was the stronger physical connection among organizational units, and information about progression of the Campus Building project. While this information told of obstructions from city authorities and of other factors concerning the realization of the project, the Senate remained fully committed. As the Rector underlined, "Campus Building is a precondition for efficient University organization, especially when it comes to the better use of resources, creation of a new climate, and overall study conditions. (#15 Rector, theme: Overload of Initiatives, category: Initiatives)

In addition, the Senate defined directions for a unique template of University' diplomas; asked for solutions for a new Rector's chain, a Vice Rector chain, and gowns for Rector, Vice Rectors, Deans, Vice Deans and students; and determined the ceremonial procedure for celebrating the University Day. All these initiatives were rather easily implemented, once the commitment for reforms has been acknowledged by the Senate members. For the purpose of this work, these are considered as symbolic and substantive change outcomes.

University's Office for Reforms, New study programs: Expanding activity domains

In November 2005, the staff of the Rectorate was increased by three new administrative staff. The three new positions corresponded to the main areas addressed in the Bologna Process, that of quality assurance, curricula

⁵⁶ Term 'Curricula Reform' is used to determine activities with regard to the modernization of the study programs and plans

development, research and publication affairs. These three positions formed the new Office for Reforms. Faculties and academies were asked to submit names of responsible persons engaged in teams for quality assurance, curricula and science and research. Recalling this initiative several months later, the General Secretary emphasized:

Thanks to our Rector, we realized that we needed an Office for Reforms. We have employed three persons to work with the reform issues: Curricula Reform, Quality Assurance and Science and Research. This was a good decision, since they have developed a network of people at the faculties. I insisted on forming networks for each of the three reform issues. The Office for Reforms' staff attends all seminars, and if possible they also invite some people from their networks. In addition, they have regular networks' monthly meetings. Moreover, at the University's website, we have established domains for distributing information about the reform issues. This was a good approach, since we can share information. (#20 General Secretary, theme: Emergence of Multiple Structures, category: Interdependence)

As the General Secretary pointed out, establishment of the Office for Reforms enabled a better flow of information inside the organization. It also aimed at integrating some administrative functions and expanding activity domains of the University. Establishment of this Office for Reforms is considered as a part of a substantive change outcome in this study.

During this period, the Rector kept the Senate informed about the reform activities and support projects. He emphasized the importance of establishing regular postgraduate studies in line with the Bologna process, as well as underlining that this type of study could be realized through a variety of funds. As a result of this discussion, the Senate made two important decisions, namely, to send a letter to the Canton's Government asking for the new Law of Higher Education to be activated, and that Scientific-Teaching Councils at faculties and academies should get written information with regard to establishing regular postgraduate studies. Both of these initiatives required, explicitly or implicitly, that the law in the area of higher education be amended. It seems that the University management used every opportunity to emphasize the importance of a need for new Canton's Higher Education Law. Therefore, these efforts are seen as partly overlapping with the third categorization of events and process that is presented and analyzed in the subsequent section.

*Temporary Study Rules and Senate meeting with the Canton's authorities:
Initiating a Momentum, Dissatisfaction and concrete actions*

As a result of the continuous debate on a necessity of updating the Higher Education Law, the Canton's Assembly made amendments to the existing Law on June 23rd. These amendments briefly introduced a two-tier study cycle (i.e. Bachelor and Master) for the higher education institutions that offer study programs in line with the 'Bologna Process'. They also defined a number of ECTS per study cycle. Even though it was the first time that Bologna Process was explicitly mentioned in the Canton's Higher Education Law, these amendments were still ambiguous and non-obligatory for higher education institutions that do not offer studies in accordance with the Bologna Process. Hence at the Senate meetings in July the Rector expressed his dissatisfaction with these amendments, and named them as unacceptable in his letter to the respective Canton's bodies.

At this point, the University's management realized that it needed to react in more concrete way with the lack of adequate Higher Education Law that would allow further changes to take place. Thus in September 2005, the Rector presented to the Senate a proposal on Temporary Study Rules made by the University's team. The Temporary Study Rules specified study duration, structure of the study programs, organization of teaching, exam registration, examination procedures, and the final term paper. These rules applied to all students enrolled at the 2005/2006 study year. The final article in this document stated that these Rules are obligatory for all higher education institutions until the new Canton's Higher Education Law is introduced.

Commenting on efforts to influence obsolete laws, one of the Deans emphasized: "We make a lot of efforts to change the Canton's Higher Education Law, since we can not influence the Umbrella Higher Education Law. Our efforts are mainly channeled via the University, in order to put pressure on the Canton's government to introduce a law that is better than the existing one. Such a law should contain the Bologna concept⁵⁷ and at the same time provide more autonomy for the University." (#16 Dean, theme: Overload of Initiatives, category: Initiatives)

In response to the appeals for the new law amendments, the Senate held a special meeting with the Theme "Implementation of University Reform in accordance with the Bologna Process" on 15 November 2005. The meeting was attended by the Canton's Prime Minister, Minister of Finance, and

⁵⁷ Bologna concept, Bologna process, Bologna study, Bologna model are some of terms used interchangeably by data sources to denote activities aimed at implementation of objectives from the Bologna Declaration.

Minister of Education and Science. After the debate, seven conclusions or points of action were agreed upon: 1) higher education reform is unavoidable and Canton's government will support further and faster University reform; 2) the government will ask the assembly for an urgent modification of the Higher Education Law, since the existing Law is opposing reforms and requirements for the integrated University model; 3) the government will urgently propose Standards and Norms for Higher Education activities, based on a proposal that University submitted to the Canton's Ministry of Education and Science; 4) the Senate asked for additional budget in 2006 for reform implementation and faster development of integrated functions; 5) since this budget is not satisfactory, the Senate asked for a guarantee of Canton's government for credit of 7 mill BAM⁵⁸; 6) the University will initiate amendments to the Law of Public Purchasing BiH, so that there is no favoring of small firms in projects that Faculties and University can also implement; 7) the Canton's government will continue work on University's reorganization and higher education reform implementation for creating conditions to enable the University of Sarajevo to join EHEA. These seven conclusions addressed several areas of interest for the academic community, ranging from focusing on modernization of the higher education to more autonomy for the institutions of higher education. Even though these conclusions were not implemented in the forthcoming period they were indicators of a changed climate among the Senate members to one that saw change as unavoidable.

Home Department, Curricula Reform: Emerging role of arbitrator

The Committee for Defining the Home Department continued its work during this period. One particular challenge was to deal with the conflict of interest among various faculties and academies in hosting certain disciplines. Therefore, in September 2005, the Senate announced a two-week deadline for the Committee to prepare and submit part of the report containing non-conflict issues. This step-wise approach resulted by three additional faculties submitting their Home Department proposals by the end of the year.

Curricula Reform was also debated at the Senate meetings during this period. For instance, in July 2005, concerning the transformation of the University Nursing College⁵⁹ into the Faculty of Health Studies, the Senate recognized its responsibility with regard to defining curricula. However a transformation of the College into a Faculty needed to be realized by the Canton, as a founder of higher education institutions. The Senate supported

⁵⁸ 1 BAM (i.e. Bosnian Mark) is a local currency equaling approximately 0,5 EUR

⁵⁹ Here, and throughout the study, a term 'University Nursing College' is used, which is a more appropriate term in the English language, instead of more literal translation of 'Higher Nursing School'.

this transformation and the new Faculty name. Furthermore, in September 2005, the Rector made a general remark on curricula, which contain a small number of electives. Other members criticized the fact that curricula were suggested on a principle of rewriting what has already been in the old study programs and plans, which may lead to University disintegration. Some critics also warned about a lack of ‘cultural inheritance’ in curricula.

These examples illustrate how University management began to understand faculties’ matters and how they took on the role of arbitrator when it was necessary to regulate some internal affairs.

January-June 2006: Building a Momentum

This period was mainly characterized by processes of intensifying efforts in dealing with particular issues, such as the Home Department. In addition, University staff was engaging more in what needed to be done internally, while at the same time exercising influence on the Canton’s authorities. As a consequence, processes for formalizing roles of, for example, Groups Tasks and Performance, were put in place.

Home Department: Intensifying efforts

At the beginning of 2006, the work of the Committee for Defining the Home Department still has not been accomplished. On several occasions the Rector warned the Senate members of the urgency of defining the Home Department issue. In this period, he also referred to the letter from the Canton’s Ministry of Education and Science sent to all higher education institutions and to the Rectorate to remind them of their obligation to define the Home Departments. A deadline for this task was set for March 2006. Moreover, the Groups were asked for their proposal of the Home Department. By mid May 2006, the Home Department was reported as defined for the majority of remaining institutions. This can be interpreted as an important step in the symbolic management, even though implementation of this initiative was delayed.

Partner institutions, Student Achievements, Campus Building Project: Planning, Instructing and Expanding Commitment

In February 2006, faculties and academies were encouraged to find higher education partner institutions in order to modify their study programs. This kind of effort reflected a need for networking with other institutions:

We have insisted that every faculty has a European partner institution, where they can see details and examples of how to implement the ECTS. Since the ECTS requires new study programs, we gave a task to the faculties to renew their existing programs. They first had to decide about a three-year or four-year Bachelor study programs. Those that selected the four-year programs had an

easier job in tailoring their existing programs. Others had to rearrange the whole study program in order to reduce it to the three-year studies. (#19 Rector, theme: Overload of Initiatives, category: Copying)

Such an approach, which can be seen as copying or translating, was necessary for two reasons. First, the University management had neither the mechanisms nor the legitimacy to introduce and harmonize study programs. Second, the University management considered that harmonization of study programs could have been accelerated only by relying on other European institutions as a benchmark.

Performance- and market-oriented tendency was indicated in several initiatives. For instance, Deans were asked to submit information in accordance with the Temporary Study Rules, so that an Analysis of students' achievements in the first semester could be discussed by the Senate. In addition, when the University was informed about reduced student quota funding from the Canton, the Rector urged all faculties and academies to submit their enrollment plans. Moreover, the Senate's members revealed their preference in emphasizing the importance of parallel studies (i.e. study lines for students that cover their tuition fees). Another initiative that can be related to this recognition of the market component is a search for quality. On a basis of a working document concerning the Establishment of Quality Assurance, the Senate concluded that a Committee for Establishing Quality Assurance should be appointed. The appointment of this Committee is considered, in this work, as a substantive change outcome when it comes to the issue of quality.

In February 2006, the issue of the Campus Building Project was re-introduced on the Senate agenda. Commenting on the Report on the Rectorate Work for period October 2004-December 2005, the Rector emphasized the importance of continuing the Campus Building Project. In addition, he suggested that the Senate should ask the Governing Board to decide on a plan of action in the case of the government deciding that part of the Campus area should be sold. The Senate stated that should this happen, the University should be given the financial means to build the Agricultural Faculty at the Campus compound.

New Canton's Higher Education Law: Exercising influence and symbolizing University

In February 2006, a team composed of University staff and the Canton's authorities was working on a draft of the new Canton's Higher Education Law. However, in reaction to the suggestion from the Minister of Education and Science that the draft was simply a rewriting of other European laws, the

Rector reacted by saying: “All higher education laws are to a high degree, almost 90%, the same. It is about the Bologna Process, and each of them defined the one-semester subjects, 30 ECTS per semester, a 15-week semester durations. Why should not we copy this? Only in cases when we have something specific, we do not need to copy.” (#19 Rector, theme: Imitation, category: Rewriting)

This example indicates a tendency of imitating other’s solutions and symbolic way of seeking the legitimacy. It also indicates an institutional change outcome, since the amendments to the Canton’s Higher Education Law are prepared by the University staff.

Rules on Groups, Rules for part-time Students: Formalizing roles

As a result of initiatives for formalizing roles, two issues of a substantive nature were emphasized. First, the Rules on Groups’ Tasks and Performance were accepted by the Senate. In particular it was accepted that the main purpose of having the Groups was to assist in preparation of material for Senate meetings. Second, the Rules for part-time students were defined, whereby faculties and academies were asked for to submit their written comments in this matter. These two examples indicate that a more coordinated approach in guiding change efforts was taking place, as well as more systematic approach to the important issues of managing academic matters by formalizing and developing the roles of the Groups.

July-December 2006: Introducing long(er) term solutions

This period was characterized by two types of change initiatives. The first was related to University’s teaching role and the expansion of commitment for reforms in this area. The second was related to integrating the activity domains with regard to teaching, research and quality.

Temporary Study Rules, Academic Appointments: Instructing and Expanding the Commitment

The introduction of Temporary Study Rules created a conflict with the existing Canton’s Higher Education Law. The conflict arose because the existing Law determined four to five exam periods during a school year. However, the Temporary Study Rules allowed for continuous assessment of students enrolled in accordance with the Bologna studies⁶⁰, and did not account for ‘extra’ exam periods, such as those defined in the Canton’s Higher Education Law. Due to the existence of two teaching systems, and existence of two ‘types’ of students, a conflict with regard to the examination periods emerged. For instance, in July 2006, the Canton’s

⁶⁰ Bologna studies is a term used in the organizational documents to define study programs and plans that are aligned with the Bologna Declaration.

Minister of Education and Science required from higher education institutions to respect the existing law that determines the September examination period. However, some institutions, such as the Faculty of Economics, refused to offer the September exam period for the students enrolled in accordance with the Bologna Process, since they have had a possibility of continuous assessment throughout the school year. The whole situation came to a head when students from this Faculty started to protest and to hold demonstrations, and resulted in the Minister ordering the Dean of the Faculty of Economics to offer the September exam period.

This episode urged the Senate to decide upon the exam procedures for both groups of students, Bologna and non-Bologna. On one hand, the Senate decided upon teaching and exam periods 2006/2007 for students that were not enrolled in accordance with the Bologna process. On the other hand, the Senate accepted the Temporary Study Rules for students that were enrolled in accordance with the Bologna Process. The remaining task was to define the University Examination Rules for the Bologna group of students. The Rector took the initiative by reminding Deans to make study contracts with the students, and the Rectorate undertook to provide faculties with a copy of such contract. By the end of the month, the Rector stated that the Governing Board had defined the University Examination Rules. For the purpose of this work, this is considered as a part of an institutional change outcome generated from the organizational level, and verified by the Governing Board.

When recalling this period of academic reforms, one of the Deans emphasized how a momentum for change was gained through the increasing commitment at the Senate for reform: “We have started from the University level. We all agreed upon implementation of the reforms. All faculties re-worked their programs and curricula, modified them according to the European programs, introduced ECTS, and adopted teaching in accordance with the European criteria.” (#16 Dean, theme: Overload of Initiatives, category: Initiatives)

These examples indicate that the initiative of introducing the Temporary Study Rules, and all other interrelated initiatives, had a major impact on the introduction of the Bologna Process, as well as anchoring and interpreting associated reform efforts. Internally and externally, the introduction of Temporary Study Rules were a trigger of much debate and action.

In addition, one of the topics frequently mentioned by interviewees is that of the procedure for academic appointments. As the General Secretary pointed out:

We really want to make academic appointments for the disciplines, and not for the subjects. Bologna divided some subjects. Then we have professors for one subject and not for others. It would be more convenient if we have professors for certain fields... Our existing Law requires academic appointments to be made either for disciplines, sub-disciplines or subjects. Since subjects became one-semester subjects and increased in a number, we suggested having the academic appointments related to a discipline- not a subject-based. By doing so, professors would be able to teach more subjects within one discipline, without repeating a procedure for appointment in different subjects. (#20 General Secretary, theme: Emergence of Multiple Structures, category: Organization of Teaching)

As previously mentioned by the Rector, the Home Department aimed at regulating this issue as well by introducing academic appointments in fields and disciplines not necessarily linked to the academic courses. Redefinition of academic appointments was recognized as an important issue by the University's management. Indeed, it has important implications for human resources policy, especially under conditions of already recognized brain drain and documented lack of academic staff.

Concept of Organizing Science and Research, Committee for Quality Governance: Integrating activity domains

A number of other initiatives aiming at integration of activity domains also emerged. For instance, the next step in initiating changes at the Senate was to define a Concept of Organizing Science and Research at the University level. University teams were formed to define this new Concept, which in turn was debated by the Senate. In addition, a number of other proposals were also accepted, such as: a Proposal on the Development Program of Postgraduate studies was acknowledged and a Project of ECTS Implementation was accepted.

During this period, the Committee for Quality Governance has been modified and additional members appointed (a total of thirteen, including representatives from Groups, Vice Rectors, General Secretary, students and Student Service staff). The appointment of this Committee is considered as a substantive change outcome in this study. By increasing the number of Committee members, this initiative was gaining further momentum.

7.3 Conditions for Change: Perceived Ambiguity and its Sources

This section presents and analyzes perceptions and experiences of the organizational members about pressures and constraints from both the environment and the existing organizational format. These perceptions and

experiences influenced and were influenced by the change pattern described throughout this chapter, which suggest that organizational members were facing ambiguity concerning ‘what to do’ and ‘what needs to be done’ on an everyday basis. Table 7.2 shows the interpretive framework for the ambiguity perceived by the organizational members.

Table 7.2: Data Structure for Theme: Perceived Ambiguity, University of Sarajevo

| 1 st Order Categories | 2 nd Order Theme |
|----------------------------------|-----------------------------|
| Intra-organizational complexity | Perceived Ambiguity |
| Procedural complexity | |

Perceived Ambiguity

As noted earlier, ambiguity is a multifaceted phenomenon that can be found at different levels of organizations and systems, and that can be associated with different periods of organizational development: past, present and future. Data about perceived ambiguity was mainly collected when interviewees revealed information on ‘what needed to be done’ and ‘why the change had not yet been achieved’. As a consequence, interviewees perceived ambiguity at all levels: individual, organizational and inter-organizational. For instance, University level projects tend to be challenged by a lack of standard operating procedures. As a result, many paradoxical episodes are seen.

One example of ambiguity of intention through intra-organizational complexity is provided by the Coordinator of the Project for Development of IT Solution at the University: “The main problem at our University and other BiH’s Universities is that they are not integrated. In other countries faculties are independent but not to such a high degree like in BiH. That is one of the crucial problems for projects like ‘IT Solution for the University’, when we need to agree what will be done, who will do it, how it will be done and coordinated.” (#21 Project Coordinator, theme: Perceived Ambiguity, category: Intra-organizational complexity). This example also illustrates how, even when there is an agreement on certain projects, and when resources are available, there is still a lack of working towards mutual goals due to the intra-organizational constraints.

Ambiguity of purpose can be illustrated by the procedural complexity within the organization. For example, when reflecting upon the legal regulations and decision-making procedures, one of the Deans commented: “Most of my decisions need to be discussed at the Scientific-Teaching Council. I have to verify all the Scientific-Teaching Council’s decision on academic appointments. There is a whole ‘forest’ of regulations, and we are not always entirely sure what, where, etc.” (#16 Dean, theme: Perceived Ambiguity, category: Procedural complexity). This example also illustrates ambiguity in a

decision-making situation, when there are a variety of procedures to follow. Another consequence of such ambiguity can also be that some people can use the confusingly high number of regulations to suit their own ends and thus, as will be shown, adding to the general dissatisfaction with the existing situation.

Sources of the Perceived Ambiguity

Interviewees' experiences revealed three themes involving the origins of perceived ambiguity. These three themes, (i.e. Weak Institutional Context, Organizational Properties, and Competing Understandings), emerged from the first-order categories directly experienced by the interviewees or stated in the organizational documents. This helped establish the category 'Triggers of Perceived Ambiguity', which also occurred as a result of data collection about drivers of reform and approaches to reform. Data revealed that there was no strict policy or systematic approach to the reforms, and indicated a weak institutional context for the reform. Thus reform efforts were mainly seen as arising from the internally accumulated organizational incongruence, the level of which was determined by the poor organizational capacity for change and the existence of multiple concepts about how the University ought to be organized. These themes are shown in Table 7.3.

Table 7.3: Data structure for dimension: Triggers of Perceived Ambiguity, University of Sarajevo

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|----------------------------------|------------------------------|---------------------------------|
| Lack of resources | Weak Institutional Context | Triggers of Perceived Ambiguity |
| Lack of law | | |
| Implementation challenges | Organizational Properties | |
| Lack of mandate | | |
| Lack of planning | | |
| System dysfunction | | |
| Inheritance | Competing Understandings | |
| Responsibility | | |
| Resistance | | |
| Role perception | | |

Weak Institutional Context

The category of Weak Institutional Context emerged as a result of the lack of systematic approach at the policy level with regard to academic and administrative reforms. In terms of organizational change, weak institutionalization alludes to times of crisis involving a lack of guidelines and means to implement articulated changes. What became evident from the data is that this lack of policy-driven change had a consequence for the organization of change activities. A crisis in the legal framework also

contributed to the general dilemma of ‘what shall we do next?’, which is even more remarkable in contexts with a prevailing logic of ‘doing what is appropriate’ in a given situation.

Lack of resources was mainly emphasized at faculty level. This is plausible, since the University had no unified budget, so that neither the central administration nor the Senate were involved in the financial issues. This lack of resources was particularly important for the new study system that required significant changes in curricula and examination methods (Hrasnica, 2007), as argued in one of the faculty’s reports⁶¹. Such requirements called for additional resources.

Another example is the participation of the Faculty of Sport in the Tempus Project “Testing of Curricula at the Faculty of Sport Sarajevo” together with the World University Servis (WUS), Graz, Austria, the Ministry of Civil Affairs, BiH, and the Faculty of Sport Ljubljana, Slovenia. Main concerns at this Faculty were, among others, identified as: lack of the Umbrella Higher Education Law, nonharmonized norms and standards in higher education, lack of State and Canton’s strategy in higher education and research, lack of state sport strategy, lack of resources for reform implementation, lack of understanding among students about the process, and the increasing numbers of self-financed students (Smajlovic, 2007). In a similar vein, Barudanovic *et al.* (2007) emphasized that since signing the Bologna Declaration in 2003, state institutions had done almost nothing to implement the process, so that the higher education sector is ruled by the local, mutually nonaligned governance levels such as cantons and divisions (i.e. FBiH and RS). These and similar faculties’ reports on reform’s challenges emphasize difficulties met by those involved in implementation of changes, whereby there is a mismatch between requirements for change, on one hand, and lack of resources, on the other hand.

In addition, interviews revealed a lot of frustration with the lack of adequate laws. As one of the Deans commented: “Since there is no agreement among all factors of social reality in our environment, our reforms are partially systematic. We have no practical legal support, and we do not have a state support. We have their declarative support, the state signed everything and every minister will announce publicly that (s)he is for reform. What we lack is a substance. We do not have the Umbrella Higher Education Law, which

⁶¹ In February 2007, the University organized a Workshop with theme “Counseling on the Higher Education Reform and Bologna Process Implementation at the University of Sarajevo”. A number of faculties’ reports addressed challenges and obstacles in coping with the present reforms in higher education. Some of these reports are utilized in this chapter.

is necessary at state level. In addition, we are not able to change the existing Canton's Higher Education Law in order to support the Bologna process." (#16 Dean, theme: Weak Institutional Context, category: Lack of Law)

The lack of the appropriate legal regulations was also identified by others as an obstacle for the internal organizational change: "Unfortunately, we can not implement the new organizational structure [as stated in the plan of the Organization of the Integrated University], except in the segments that do not contradict the existing law." (#15 Rector, theme: Weak Institutional Context, category: Lack of Law). The General Secretary was even more explicit in this regard: "We have done the majority of necessary work, but we cannot start with actual implementation since we do not have the appropriate law, which should explicitly state that we are integrated and that we have to change the Statute. Concerning the Statute change, we have already defined the new Statute. Therefore, we can not realize our solutions (e.g. the new Statute), and there is a danger that lack of law is blocking our further development." (#18 General Secretary, theme: Weak Institutional Context, category: Lack of Law)

These three examples show how strongly the organizational members saw the need for legal regulations to support further changes.

Organizational Properties

The implementation of the reforms is an important issue discussed frequently by those directly involved. For instance, the academic staff faced 'unrealistic' deadlines, high reorganization costs, lack of external motivation, lack of resources, lack of institutional support, and so on.

Examples of just how difficult the staff found implementation are given by the previously mentioned faculties' reports presented at the Workshop on Counseling for Higher Education Reform. For instance, the Faculty of Agriculture and Food Technology estimated that organizing the teaching process in accordance to the Bologna principles had increased costs by 30-40% since it requires much more efforts from teachers to prepare and administer their lectures, as well as to follow up students' progress and for examinations (Kurtovic & Blesic, 2007). In addition, the report questioned whether quality had been lost at the expense of 'efficiency' and 'quick implementation'. From the teachers' point of view, according to Kurtovic and Blesic (2007), the increased workload contributes to further frustrations, since teachers have been dissatisfied with the low income and social status even before the reform. Therefore, the authors do not expect the increase in quality of teaching process.

Moreover, primarily because of overlap between the old and new curricula, this Faculty experienced an additional challenge through the lack of

premises and laboratory equipment. For example, it has been reported that the Faculty has at its disposal approximately 4500 m², which is two times less than is the requirement set out in the new Canton's Standards and Norms for Higher Education (i.e. at this time it was stated there should be 9600 m² available for 8000 students). The report states that the Faculty employs 34 teachers and 38 associates. Additional 22 teachers are either engaged from other faculties or re-engaged retired professors. Finally, the report states that there is a requirement for increased numbers of teaching staff in order to satisfy the teaching needs. The research component is particularly weak due to the limited resources, and networking within internationally funded projects and interuniversity cooperation agreements was identified as a major mechanism for increasing the level of research competence.

In summarizing experience from the Faculty of Civil Engineering Sarajevo, Hrasnica (2007) argued that adoption of teaching staff to the new study concept can not take place 'over the night'. This report states that some staff members are more skeptical, some are traditionally 'suspicious' toward any innovation, and some are afraid that they would not be able to respond to requirements.

Lack of mandate, i.e. short turnovers, in Rector's and Deans' offices is also discussed by interviewees as a challenge for organizing appropriate organizational action. A mandate period of two years was considered as insufficient for motivating those holding these positions to engage in even more fundamental change. This tradition of short turnovers corresponds to the inherited organizational pluralism in the higher education institutions from the self-management period. An interrelated issue is that of a lack of planning. Both, short mandates and lack of planning contribute to reducing the organizational capacity for action.

The Dean of the Faculty of Economics describes his situation with regard to the lack of mandate:

Obviously we have a mixture of a traditional system and requirements met by a modern higher education institution. In our circumstances and in accordance to the existing law, the Dean's position is a position of 'first among equals'. This means that one of the teachers will be appointed for two years, and then some of the colleagues will take over, etc. In other words, this position is not conceptualized as a professional position. With years, requirements are growing, and I face challenges as any manager of some big corporation. We have 8500 students, 150 teachers and administrative staff. It is a small-scale enterprise, which requires a full time engagement and a lot of managerial skills. On the other hand, my

mandate is just 2 years, which is ridiculous concerning a scope of the reform. Why should I make efforts to realize such a reform, when I can wait for this mandate to end and let someone else to care about the reform? It would be understandable for a CEO of some corporation not to start with some new strategic plans if his mandate is two years. (#16 Dean, theme: Organizational Properties, category: Lack of Mandate)

In addition, appointments in the Governing Boards are seen as problematic: “The Governing Board is a body appointed by the Canton, or in other words by political parties, to control faculty’s performance. The real reason these people are appointed is that they are politically active and will be paid for their service on the Board. As a result, the Governing Board has a heterogeneous, unusual mixture of people, who may or may not have any idea about running the faculty.” (#16 Dean, theme: Organizational Properties, category: System Dysfunction)

Another issue of the system, pointed out by the interviewees, is the lack of an Agency for the Quality Assurance and Accreditation at state level. The inherited organizational structure also prevents internal student mobility within the University: “We face a problem that within our University, the student has to transfer from one faculty to another in order to attend an elective course. And these kind of ridiculous situations occur when you are not integrated.” (#20 General Secretary, theme: Organizational Properties, category: System Dysfunction)

The General Secretary summarizes the biggest paradox that exists in the system: “In fact, we exhaust ourselves in our efforts. And it should be the opposite. The state should provide conditions so that we can work more easily in such a difficult situation. On the contrary, however, we have to try to convince the state to do what needs to be done. We even do not have a state Ministry of Education. We have the FBiH Ministry of Education, which has no jurisdictions over higher education.” (#18 General Secretary, theme: Organizational Properties, category: System Dysfunction)

This interpretation of the ongoing process is quite significant. Namely, the lack of a ‘proper’ Ministry for Education, gave the University staff room to search for solutions and make proposals what actions should be taken and what outcomes are desirable. As a result, a number of competing understandings emerged.

Competing Understandings

Competing Understandings represent instances in which organizational members realize an inconsistency between the organization’s current

structure and organizing principles and claims of who the organization will be or would like to be in the future. They are seen as a result of the inherited system and resistance, on one hand, and perceived responsibilities and roles, on the other. Conflict in values associated with two types of understandings (i.e. what higher education institutions are and how they should be organized) has been found in the data.

For instance, when discussing the existing, inadequate organizational structures, interviewees often referred to the inherited system: “Concerning the financial and material issues, we are completely divided. Every faculty has its own account, budget, and funding structure. This situation was inherited and remains unchanged.” (#16 Dean, theme: Competing Understandings, category: Inheritance). This example represents a number of similar comments made by the interviewees about inadequacy of the organizational structure and uncomfortable constraints that it posed for efforts to implement change.

In addition, interview data indicated a resistance to change, or in other words, a loyalty of some organizational members to the ‘old’ system. As a result, in the plans for future reorganization, different transitional solutions were envisaged: “Concerning future reorganization, we have agreed to keep sub-accounts at the faculty levels, in order to provide them with a certain degree of autonomy. The Rector will have more authority than before. (S)he will let Deans govern their sub-accounts. That is a sort of transitional solution, which is also a logical one. For instance, why should some of the more ‘wealthy’ faculties, like us, agree with centralization, when there are faculties entirely dependent on the governmental budget and with much lower standard? On the other hand, we have a higher demand for our study programs and therefore much higher income.” (#16 Dean, theme: Competing Understandings, category: Resistance). This quote supports information presented at the outset of this chapter about incompatibilities among faculties, and how their different budget profiles are obstacles to more integrated University form.

Beside this resistance to a unified budget, the data indicated resistance to some other future integrative functions by the University staff: “Concerning the Software for the Student Services, there are faculties that do not implement the software. It is out of question. Some of the faculties went even further and stated that they do not need it, which is absolutely unacceptable.... Nevertheless, we will work it out slowly and try to resolve the issue. Like everything else in life, if you do not want to do something, you will find many reasons not to do it. On the other hand, if you want something, every idea will be welcome and you will try to realize it. And some faculties behave in this manner. Some of them implement the software

completely and some of them find reasons for not doing it.” (#20 General Secretary, theme: Competing Understandings, category: Resistance)

Much of the reluctance for the new integrative University forms is also observed at the individual level: “Concerning subjective reasons, there will always be people against the integrated University, since with integration they will lose their status as directors of a legal subject.” (#18 General Secretary, theme: Competing Understandings, category: Resistance)

However, the responsibilities that the University staff perceived were highly demanding and not at least urgent:

My thesis was that the University, as a leading force in society, has a larger responsibility than a handful of parliament members, 42 in a State assembly and 30 in a Canton’s assembly. The Senate has more members than each of these assemblies has members. We have a higher societal responsibility, meaning that we have a stronger perceived responsibility. In a 5- or 10-year time nobody will ask whether there was a Law or not. Everybody will forget that. But if we do not implement the reform - that will be something nobody will ever forget. Thus I informed the Canton’s authorities that they do not have to change the Law, but that I will implement the reform. They accused me for that, but they could not do anything, since I had the Senate to support me. The Senate was unified, and I consider it as the most competent body in this country. Therefore if the Senate is unified in some issues, then its opinion should be respected. When we made law amendments, they should provide us with the new law. We have done all things, we have made proposals for law amendments, proposals for the new law, proposals for the University organization, and proposals for Campus Building. (#19 Rector, theme: Competing Understandings, category: Responsibility)

The Rector’s determination to introduce and implement reforms, despite the lack of the legal regulations is strongly illustrated in the quote above. It indicates how dissatisfied the organizational members were with the institutional environment (or lack of it), especially under conditions where they perceived strong pressures for changes.

The General Secretary also supported this perception of the University’s social responsibility: “We have a responsibility, since we are convinced that if the University does not take care about certain issues, there is no one else to do it. We have realized the degree of this responsibility. We have also realized that we need to start with changes, otherwise we will be left behind.” (#20 General Secretary, theme: Competing Understandings, category: Responsibility)

These and similar statements underline the organizational members' understanding of what a role of the University is and should be. Despite the existing rules and regulation, faculty and University management teams have their own understandings of their roles. The Dean of the Faculty of Economics perceived his role as follows:

Since the Dean is 'the first among equals', (s)he has no possibility to choose her/his associates. I would like to be able appoint my associates on a basis of their competence, if I have had a longer mandate and other responsibilities. Since this position has a two-year mandate, then I do not want to 'disturb' organizational balance. I have made some changes, but not as much as I would do in the case that I would consider myself as a general manager of a company and have a plan where this company will be in five years time. (#16 Dean, theme: Competing Understandings, category: Role perception)

While the Dean was referring to his role in managing affairs at his faculty, the Rector was quite explicit about his role as a leader of the University: "I have focused on making the University here. This implied two things: to build the Campus and to introduce the new study system systematically." (#19 Rector, theme: Competing Understandings, category: Role perception)

The General Secretary was concerned about the lack of reform initiatives from the authorities. He commented that "Nobody needs to 'call us up'. Simple facts are that we do not have either a Ministry of Education at the state level, state strategy, state law, or state funding. This means that we do not have initiative and support for the reform from the State level. It looks like the higher education does not exist in this state. The only thing we have is the Bologna Declaration, as an international legal source. This is our chance to shake things up, and to understand that we need to implement some changes in order to modernize." (#30 General Secretary, theme: Competing Understandings, category: Role perception)

All the above mentioned selected examples indicate a high level of emotional involvement on the side of those who feel responsible for the University reforms. As previously mentioned, such involvement resulted in competing understandings of the existing reforms.

7.4 Coordinating Organizational Action: Intentions and Mechanisms

This section presents tactics used by the University management in order to respond to the pressures of change, as well as to balance them with the organizational constraints during the period of strategic change initiatives. Table 7.4 shows the framework for data analysis.

Table 7.4: Data structure for theme: Coordination of action, University of Sarajevo

| 1 st Order Categories | 2 nd order theme |
|----------------------------------|-----------------------------|
| Education about reform | Coordination of action |
| Benchmark | |
| Support base | |
| Providing conditions | |

Coordination of Action

Experiences of faculties with the reform process indicate that University level initiatives and the central administration played important roles in the change process. Two illustrations are particularly striking. First, a report that reflected upon experiences from the Faculty of Sport stated that “energy and initiatives at the University level, such as well-planned dynamics of lectures, seminars and exchanges with faculties in the country and abroad, paved the way for a good overall understanding of both Faculty staff and management of the unavoidability of reforms in line with the Bologna process. An awareness of the necessity for change, and the readiness of staff to contribute to the quality of change, were the first steps towards the reorganization of all areas and working methods necessary for the implementation of the Bologna principles” (Smajlovic, 2007, translation provided). Second, Barudanovic *et al.* (2007) in their report on reform implementation at the Faculty of the Natural Sciences and Mathematics, the Biology Study, noted that “in order to accelerate the process of reform implementation, the Senate decided to undertake steps that would encourage the establishment of preconditions for the University reform. Based on the Temporary Study Rules, and the Rector’s initiative, faculties were asked to commence implementation of the study cycles in accordance to the Bologna principles individually” (Barudanovic *et al.*, 2007, translation provided). Both reports were explicit about initiatives coming from the University to a) increase awareness about reforms, and b) undertake concrete steps, such as defining the Temporary Study Rules.

The Rector explained the importance of sharing information and educating people about the need for change: “The first, most important thing is to educate people. The first phase of the change processes, such as the Bologna study process and the organization of teaching, requires educating people. First inform them, and then educate them.” (#19 Rector, theme: Coordination of Action, category: Education on Reform)

Implementation, on the other hand, is made easier when there is the possibility of relative comparison within the University: “It is important to have a role-model at the University, to have someone to show other professors good practice, so that they can get assistance to implement the

same in their own courses and faculties. When we centralize the University, then it will be possible. Then, for instance, Software for the whole University can be introduced like the one I have introduced for the Student's Service. It was not an easy job, and this software still does not function in all faculties. But we have forced them to at least start with it." (#19 Rector, theme: Coordination of Action, category: Benchmark)

The experience of those involved with the implementation of the University-wide projects indicates that in succeeding with this type of project both University and faculty management support is needed. For instance, the Project Coordinator of the 'University IT Solution Project', who has tenure at a faculty considered by many as progressively implementing reforms, articulated his experience during the project implementation as follows: "Implementation depended to a high degree upon the faculties, since they are very heterogeneous. For instance, we had no problems, not only because I and the Student Service coordinator were both from this Faculty, but also because our Dean understands all these changes and supported us from the beginning." (# 21 Project Coordinator, theme: Coordination of Action, category: Support Base)

Prevailing circumstances can also pose constraints and conditions for reform, and a balance between the two can be difficult to define. In general, the perception of circumstances by the main actors in the University's reform has been mainly negative. As the Rector pointed out: "Some parts of the faculties, more than faculties as such, expressed their concern that the reforms were too fast, and that some pre-conditions should have been met. However, this country does not provide any conditions and if we would wait for some preconditions, we would never begin with any change. We have to make the right conditions and conduct reorganization simultaneously, and that was something that I insisted on." (#19 Rector, theme: Coordination of Action, category: Providing conditions)

Therefore, as the Rector explained, conditions for introducing the Bologna study at the University of Sarajevo were based on a Temporary Study Rules defined by the Senate, which replaced the existing Canton's Higher Education Law. The General Secretary also recalled this process:

We knew it would be difficult, without the Umbrella Higher Education Law, to get integration and to have the University as a legal body. Thus we considered the academic issues as more autonomous issues, and we 'fought' for them. First thing we insisted upon was to make rules for the first study cycle. We introduced them with 'force' as Temporary Study Rules. In July/August 2006, the Ministry confirmed all these rules by new amendments to the Canton's Higher Education Law. Indeed, they have put all our

Temporary Study Rules into the Canton's Higher Education Law as a Bologna Process Study. (#20 General Secretary, theme: Coordination of Action, category: Providing conditions)

All the above mentioned examples illustrate coordination efforts made by the University management in directing organizational change, and in so doing influencing changes at the institutional level as well.

Mechanisms of Coordination

With regard to the Mechanisms of Coordination, three themes (i.e. Commitment Building, Consolidation and Improvisation) were revealed by the first-order categories of data. Table 7.5 summarizes the interpretive framework.

Table 7.5: Data structure for dimension: Mechanisms of Coordination, University of Sarajevo

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|----------------------------------|------------------------------|----------------------------|
| Pressure building | Commitment building | Mechanisms of Coordination |
| Persuasion tactics | | |
| Legitimacy seeking | Improvisation | |
| New Organization of teaching | | |
| Maneuvering | Consolidation | |
| Planning | | |

Commitment Building

The process of commitment building at the University of Sarajevo was accelerated with the appointment of a new Rector in 2004. The new Rector underlined the necessity of University reforms at one of the first Senate meetings he chaired. He concluded that, concerning implementation, the University was among bottom in Europe, since the plans for implementing the Institutional Development Plan were not realistic. He also pointed out that the Bologna process is still not fully implemented in Europe, so that the University needs to accept solutions that are not too radical concerning its present situation.

The new Rector also put the issue of University reform on the Senate agenda: "The Senate is absolutely the most important University body. The Senate has the ability to accelerate the reforms. I have used every Senate meeting to have the current status of reforms as the first agenda item. Neither of Deans likes to be criticized that s/he has not done anything about reform and that what they do at her/his faculty is basically done. ... I have used examples of their poor organization, their delays in implementing

reforms, their inefficient study programs, etc.” (#19 Rector, theme: Commitment Building, category: Pressure Building)

Shortly after his appointment, the Rector established a Rector’s Counseling Body, consisting of a number of well respected academics. With a mandate of two years, this nine-member body was established in January 2005. Among others, the task of this Rector’s Counseling Body was to develop ideas and make suggestions concerning the University development in areas of research, teaching and organization based on contemporary developments in other countries. The Rector emphasized that establishing of the Rector’s Council Body was a part of his tactics for implementing reform:

As soon as I was appointed, I have established the Council for University Reform and Development, as a Rector’s Counseling body. It is not a body appointed by the Ministry or the Senate. ... All members have a long academic experience. This Council was estimating main reform efforts, so that we do not ‘get lost’. For instance, they estimated what we should keep from our traditional higher education system. It is important that one day we consider this reform as a reform where we kept what was considered as worthy from our own traditions, whereas we introduced necessary and important changes. The Council also discussed the organizational aspects.... I was using the Council for University Reform and Development tactically, so that changes could not be considered as my own will but the Council’s decision. I was submitting my suggestions to the Council. (#19 Rector, theme: Commitment Building, category: Pressure Building)

Another time when the Rector exercised his influence in mobilizing external support was at the Senate meeting of November 2005. During this event, the Canton’s Prime Minister and two other Ministers were present. When recalling this event, the Rector commented: “I organized that the Canton’s Prime Minister, Minister of Finance and Minister of Education and Science attend the Senate special meeting about the higher education reform, since we could no longer tolerate that nothing was being done from their side. I forced them to attend that meeting and to listen to us. We used that meeting to give them our suggestions, and they agreed with them” (#19 Rector, theme: Commitment Building, category: Pressure Building). However, as the Rector pointed out, they never implemented these suggestions. Indeed, one of the most important– establishing the new Canton’s Law on Higher Education – was not carried out until October 2006.

When recalling the tactics and approaches used in the University reform, the General Secretary emphasized the importance of introducing the Temporary Study Rules and how these Rules were put into force: “These Rules were introduced by force, since there were still some skeptics wondering whether

we could do it. In other words, it has been forced regarding some members of the academic community and the Ministry of Education and Science.” (#30 General Secretary, theme: Commitment Building, category: Pressure Building)

According to the Rector, he was using every occasion to emphasize the need for integrating the University: “During the University’s anniversary reception I used the opportunity to push for the Campus solution. Some would consider it as inappropriate. However I made a presentation where I informed the audience that I need to use their time rationally, since I might never again gather them in such a number and composition. I have showed them a Campus Building Plan and informed them that we have been waiting nine years to get building permission from the Municipal Building Office. I asked them to evaluate that Master Plan and to tell me what could be the reason for such a delay. I also informed them that they would be responsible if the University did not get permission as soon as possible. And we got it shortly after.” (#19 Rector, theme: Commitment Building, category: Pressure Building)

The building of pressure tactic was also present at the inter-organizational level, by collective action together with other Rectors. In 2005, a body named the Rector’s Conference was formed.

The Rector’s Conference was formed during my mandate. I have been its president until the end of my mandate. This body was creating a pressure climate for introducing the Umbrella Higher Education Law, and there was no dissonance between its members. Some Rectors were influenced by politicians to accept or reject some concrete solutions. Despite this, the Rector’s Conference had a positive role in putting pressure on the public and politicians for the higher education reform. (#19 Rector, theme: Commitment Building, category: Pressure Building)

Commenting upon the implementation process, the Rector revealed his influence and persuasion tactics: “I can say only this: we have forced the implementation of reform and some elements of reorganization. Thus we have implemented the Bologna process even in cases where we had minimal law changes. We have been ahead of the law. For example, we have been introducing exams in ways that were not defined by the law; we have been terminating classical exam periods – something that also was not defined by the law, etc.” (#19 Rector, theme: Commitment Building, category: Persuasion tactics) This example also illustrates that ‘being ahead of law’ had implications for emergence of earlier mentioned institutional change outcomes.

Some of the more concrete steps taken are evident from the following Rector's comment: "The most important was direct contact, in pursuing the faculty management, during my visits to the faculties. They did not implement all Senate decisions to the same degree, but they also never contradicted these decisions.... It is always possible to have influence if you are well organized. Deans also need the Rector..." (#19 Rector, theme: Commitment Building, category: Persuasion tactics) The advantages of such direct influence tactics were also indicated by the General Secretary: "It is an advantage if you first introduce one change and enroll one generation of students according to the new study system. This forces us to talk about it and to introduce new issues. Otherwise, we would still today have debates whether we need it or not." (#18 General Secretary, theme: Commitment Building, category: Persuasion tactics)

As the above examples illustrate, the tactic of direct influence was an important part of the commitment building process. The importance of 'forcing' organizational members to realize what is good for the University, and making interpretations on behalf of other organizational members (e.g. Senate members), were frequently emphasized by the University management during the interview process.

Improvisation

A number of reports prepared for the Workshop on "Counseling on the Higher Education Reform and Bologna Process Implementation at the University of Sarajevo" summarized the efforts and experiences of the faculties and their staff in relation to the academic reforms. Several of these reports indicate that the implementation pattern many of these institutions used was mainly pragmatic. For instance, in their report Barudanovic *et al.* (2007) summarized the reform experiences from the Faculty of Natural Sciences and Mathematics, Biology Study as: "Accepting the Senate's decisions and initiatives started the transformation of curricula in accordance to the Bologna principles – a process that started without an adequate basis in law. A number of problems faced during the last two years indicate that the transfer to the new curricula (4+1 study cycles) has been quick in order to formally satisfy the Bologna principles. A Committee that was allocated the task of curricula transformation suggested to the Scientific-Teaching Council at the Biology Study that a model in which the first two years are common for all modules should be established, whereas the last two years involve specialization courses and electives. Beginning of the realization of the Bologna study process involved activities such as informing students about the new study rules and syllabi, and publishing a manual about the aspects of the new curricula. One of the biggest problems was the status of the practical syllabi in the process of students' examination, since the Bologna model insists on a written examination." (pp. 1, translation

provided). This report illustrates that chosen study model (i.e. 4+1) was quickly introduced since it was the most appropriate transition due to the existing study model of four years at the undergraduate level.

As of the winter semester 2006/2007, a new study concept in line with the Bologna Process was implemented at the Faculty of Civil Engineering, University of Sarajevo. What used to be a five-year undergraduate study and a two-year Master's study, have been transformed, in cooperation with other European Universities (Stuttgart, Vienna, Lausanne, Zurich, Bochum, Zagreb and Munchen), into a three-year undergraduate study and a two-year Master's study (Hrasnica, 2007). Parallel to this transformation, a new ECTS system was introduced. In his report, Hrasnica (2007) emphasized that "one of the main ideas of the new study concept is that the first cycle should last three years and provide a general education in the field of civil engineering and geodesy, which ought to be a good foundation for continuing education in the second, two-year, cycle within several majors" (pp. 3, translation provided).

Other concerns with the ongoing reforms were also expressed. In his report, Tanovic (2007) stated that faculties preserved discipline-heavy curricula during the Curricula Reform. As an example, Tanovic takes the Faculty of Natural Sciences and Mathematics, where the old and new curricula differ in two or three courses, despite the fact that there are two more Faculties within the same University (i.e. the Faculty of Philosophy and the Faculty of Education⁶²) that offer courses within the same discipline. Consequently, a graduated chemistry engineer and a chemistry professor do not differ much in their education. While this lack of differentiation will not affect those working in industry, according to the author, it will certainly have negative consequences for teachers who did not have proper education in pedagogy, psychology and didactics. Curricula Reform tends to modify curricula in accordance to the 'European' curricula. As a result, the courses are split and what was once a two-semester course became two one-semester courses, usually slightly 'cleaned' from the historicism⁶³, according to Tanovic's analysis.

Beside this 'pragmatic' approach to reform implementation by the faculties, University staff also used some 'shortcuts' to gain legitimacy for the reform. For instance, the Rector comments upon his rationale for establishing the Rector's Council for University Reform and Development: "The Council is

⁶² Here, and throughout the study, the term Faculty of Education will be used when referring to the so called 'Academy of Pedagogy', which is literal translation of the local term 'Pedagoska Akademija' for this institution

⁶³ Historicism refers to terminology that was prevailing during the socialist regime.

not part of our organizational structure. I have invented it in order for it not to be seen as ‘my’ reform, but to show that we need the reform as such, and that everything that is done is done legitimately with the support of our experts and the most competent people.” (#19 Rector, theme: Improvisation, category: Legitimacy seeking)

Another example is provided by the General Secretary, who explained the main rationale for the introduction of Temporary Study Rules: “In May 2005, after we had pushed the issue for a long period of time, the Canton introduced a rather small amendment to the law with regard to the possibility of organizing study cycles in accordance with the Bologna process. They have not expanded this further. Thus we had to decide upon a new organization of teaching by September, when the new academic year started. That was a reason for the Temporary Study Rules to be introduced.” (#30 General Secretary, theme: Improvisation, category: New Organization of Teaching)

This and similar illustrations indicate that the University has chosen a strategy to improvise and to experiment in order to gain a momentum for change.

Consolidation

Two striking examples are found when examining the tactics of the University management in consolidating their efforts for reform. The first relates to the Temporary Study Rules that allowed academic reform to be put in place. As the Rector emphasized: “We had this vacuum for maneuvering because we adopted the Temporary Study Rules that replaced existing legal rules. We informed students about these Rules before a school year started.” (#19 Rector, theme: Consolidation, category: Maneuvering)

The second example relates to efforts made to produce documents, such as the new Statute, Organization of Integrated University, Institutional Development Plan, which would in turn set out the future. As the General Secretary describes it, the number of documents is produced in order to support further changes.

The first Document ‘Organization of the Integrated University’ is a part of a project that offered solutions about possible ways we could integrate, for example what would be natural and logical. Shall we, for instance, make 6 Universities since we have 6 Groups, etc.? The second document is basically the end of that project, which resulted in our Statute. The Statute is the main University’s organizational act. We have completely agreed upon the Statute draft. The Statute defines budget ratio for individual faculties. In addition, it specifies that faculties can keep their own income, whereas a small portion will be given to the University for Integrative Services. Internet

connection, sport and graduate ceremonies will be partly covered by the faculties and that is something that they are financing even today. By doing so, they will pay less and get more. The Statute is our most important achievement. It is an end result of all our activities so far. (#18 General Secretary, theme: Consolidation, category: Planning)

As indicated by the data, efforts were made and coordinated towards the preparation of a number of organizational documents that would provide legitimate answers for the future reorganization. This was considered as a part of planning efforts that would consolidate further actions, including the implementation of these plans.

7.5 Summary

This chapter aimed at presenting and analyzing data on the organizational change process at the University of Sarajevo. The narrative of change is presented chronologically in a form of short stories of change initiatives. The interpretive framework developed in Chapter 4 has been utilized to communicate an overload of change initiatives during the change process, as well as organizational members' perception of the pressures for change and experiences in coordinating the change actions. The data analysis involved indications of the symbolic, substantive and institutional change outcomes. The organizational change process at the University of Sarajevo will be revisited in the Chapter 9, which will summarize the main findings regarding this change process.

8. University of Tuzla

This chapter presents and analyzes data from the University of Tuzla. First, background information is presented. Second, a narrative of the pattern of change is presented and analyzed by taking into account strategic level's decisions, initiatives and conclusions of the University Senate, as well as the consequences of these strategic initiatives as change-related actions at the organizational and institutional levels (i.e. symbolic, substantive and institutional change outcomes). This narrative includes multilevel data (i.e. strategic, organizational and institutional) concerning the organized effort for change. Narrative is presented in a form of short stories of change initiatives in a chronological order. Third, conditions for change to occur perceived by organizational members throughout the process are presented and analyzed. Finally, the role and behavior of the influential individuals in initiating strategic change are analyzed.

8.1 Background

The city of Tuzla is situated in the North-East of the Bosnia-Herzegovina (BiH). In the 1980s, the region was characterized by 63% of all coal production, 38% of electrical energy production, as well as strong chemical and food industries (University of Tuzla, 1986: 20). It is not surprising, therefore, that the first institutions of higher learning, i.e. faculties, in this region were closely related to these industry sectors.

The University of Tuzla was established on November 18, 1976, by the Agreement Act between six Faculties and the Institute for Mining and Chemical Research. Four Faculties were located directly in the town of Tuzla (i.e. Technology, Mining-Geological⁶⁴, Education, and Medicine) and one in the wider area of North-Eastern BiH (Faculty of Economics in Brcko). The sixth Faculty was a satellite department of the Faculty of Electrical Engineering Sarajevo, which was also situated in Tuzla (University of Tuzla, 1976) and in later years became the Faculty of Mechanical and Electrical Engineering Tuzla. At the time of its establishment, the University was enrolling around 5500 students annually and employing 220 academic and 337 administrative staff (University of Tuzla, 1976: 48). Socio-economic reasons for establishing the University were summarized in terms of “needs of the North-Eastern BiH's region for highly educated workers”, which was also seen as a “logical phase in higher

⁶⁴ This Faculty became the Faculty of Mining-Geological-Civil Engineering after reorganization in 1999.

education development in this region” (University of Tuzla, 1976: 16, translation provided). The newly established University had a vision to develop as a technical University due to its specific location within an industrial area. Indeed, in a monograph published especially for the University’s tenth anniversary, it is explicitly stated that the University had emphasized the technical sciences in its structure (University of Tuzla, 1986). However, many things have changed since then. In particular there has been a radical change of political system, yet the University succeeded to ‘survive’.

Closer insight into the University’s documents since its establishment shows that a number of challenges have prevailed throughout its 30 year old history. For instance, the inadequate number of teaching staff has been a persistent topic of debate and analysis since the University’s establishment. In the 1981 University Bulletin, there was an analysis of the number of teaching staff that emphasized difficulties in determining the number of the permanent teaching staff, due to the different approaches in defining criteria applied by different faculties for academic appointments. As a result, almost 50% of teaching staff did not have a primary affiliation with the higher education institutions (i.e. faculties) where they taught, which was considered as a significant drawback for planning (University of Tuzla, 1981). One means proposed for dealing with this problem was the introduction of “appointing in permanent positions one teacher and at least one teaching assistant for every discipline” (University of Tuzla, 1981: 31, translation provided). Another measure suggested was related to both prevention of the curricula division and higher engagement of the teachers in the science and research activities. It seems that some of these measures were producing desired results, since data from 1991 show that out of 425 teachers, 78,6% were permanently employed at the University, whereas 21,4% had their second post at the University (University of Tuzla, 1991: 75). There had also been a high ratio of students to teachers in some subjects, which was felt to have affected students’ achievements (University of Tuzla, 1989). In the 1989 University Bulletin, an analysis of students’ achievements showed that only 56,3% of students met criteria to enroll for the next study year, which was a decrease compared to the year before when this percentage was 75,8% (University of Tuzla, 1989). These data indicate that efficiency of higher education institutions was not of a primary concern in this period of centrally planned economy and socialist regime.

Concerning the number of students enrolled in the first study year, this number increased from 4096 in the school year 1976/1977 to 4973 in the school year 1985/1986 (University of Tuzla, 1986). In the post-1995 war period, statistics show that the number of students has almost doubled from 5,839 in a school year 1997/1998 to 11,399 in a school year 2005/2006 (Federal Statistical Bureau, 2006). The latest information from the

University's website⁶⁵ state that its thirteen faculties offer forty-four study profiles to approximately 15,000 undergraduate and 1,500 graduate students. The number of academic staff, permanent and visiting, is 500, whereas the number of administrative staff is 200. From 1997 to 2006 the number of students more than doubled, making the problem of staffing levels even more important.

After this brief look into the University's development and statistics during the first three decades since its establishment, the following sections will address the change period it went through over the past six years.

8.2 Pattern of Change: Events and Outcomes

This section aims at showing the pattern of change at the University of Tuzla in the post-socialist, post-conflict period in the late 1990s and after. Data from minutes of the Senate's meetings, organizational documents and interviews are presented and analyzed in order to capture a process of organizational change as it unfolded during the research period in this organization. The minutes of the Senate's meetings contain written evidence about change-related communications and initiatives undertaken. These initiatives are presented chronologically as issues emerged on the Senate agenda. This is important in order to track consequences of the strategic initiatives at both organizational and institutional levels (see Appendix 8 for a list of main events at the Senate and their consequences). There were three groups of change outcomes identified: symbolic change outcomes (i.e. changes in organizational plans and mission), substantive change outcomes (i.e. changes in organizational structure and processes) and institutional change outcomes (i.e. changes in respective laws and regulations). Therefore, the pattern of change in the University of Tuzla is presented as a narrative of change in a form of short histories aiming at: documenting change initiatives and analyzing them by indicating various types of change outcomes. Table 8.1 shows interpretive framework for the data analysis.

Table 8.1 Data structure for dimension: Outcomes of Change, University of Tuzla

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|--|----------------------------------|----------------------|
| Initiatives | Overload of Initiatives | Outcomes of Change |
| <i>Organizational histories of initiatives</i> ⁶⁶ | | |
| Organization of teaching | Emergence of multiple structures | |
| Interdependence | | |
| Rewriting | Imitation | |
| Copying | | |

⁶⁵ Information accessed at www.untz.ba on 10 October 2007

⁶⁶ These histories were collected from the Senate meetings' memos

Pre-1999: Preparations for new Canton's Higher Education Law

The first thoughts about the University reorganization date back to 1993 and the time of war conflict and challenges experienced by the University's staff in 'keeping the University alive' and performing the most important activity – teaching. The then Rector describes a 'birth of the integration idea' in the following terms: “[due to the war], the University was ‘poorer’ for 150 staff members in 1993. For a University of this size, it was a remarkable shock. Our concerns forced us to think about what to do next. A first concern was how to organize teaching and then how to organize the University under the war conditions. And I have to admit that ideas were born as to how to organize the teaching. The need for integrated teaching was recognized.” (# 29 Ex-Rector, theme: Overload of Initiatives, category: Initiatives)

However, it took some years for such integrative form to be put into force. The University of Tuzla used to be organized on a same principle of loosely coupled associations of faculties as other BiH Universities and several things had to happen before this could be changed. A chronological order of relevant events that were antecedents of the 1999 reorganization can be organized into three different categories: a) recognizing the need for action in order to ‘survive’; b) getting external information about possible solutions; and c) analyzing behavior of University's external stakeholders. Two external events were also important for the introduction of organization reform in 1999. First, it became recognized that BiH Higher Education was becoming a part of a wider, European Higher Education context in the post-1995 period. As noted in the 2003 Institutional Development Plan, “Bosnia-Herzegovina's becoming part of the international community, and the acceptance of completely new and different standards in all fields, implied multiple reform of organizational structure and management as well as the updating of educational and research methods and programs. The focus has now been placed on becoming part of the international academic community through various research projects and programs.” (University of Tuzla, 2003a: 6)

Second, the internal political situation in the aftermath of the armed conflict was highly uncertain and there were speculations with regard to the existence of only three ethnical⁶⁷ universities by the end of 1990s. These concerns were captured in the 2003 University Annual Report. This report also contains an interesting comment about the necessity for restructuring into an integrated model in 1999, by stating that: “commitment to the

⁶⁷ Three ethnical Universities were assumed to correspond to the three already mentioned ethnic groups of Bosniaks, Bosnian-Croats and Bosnian-Serbs emerged in the post-socialist and post-war BiH. Such a solution would not leave a room for other Universities, including the University of Tuzla.

reforms contributed to a survival of the University of Tuzla since some ‘informal’ circles have planned its discontinuation. Even though such plans for reduction of BiH Universities are still not implemented (and most likely will not be within next few years), there is a low probability someone could question the existence of the University of Tuzla after all excellent evaluations and all positive trends emphasized over the past few years.” (University of Tuzla, 2003b: 2, translation provided). In 1999, the above mentioned two macro factors culminated into pressures to Canton’s Government to put into force the new Canton’s Higher Education Law that would allow University reorganization.

1999-2001: Formalizing the Merger

As late as 1999, a new structure emerged in the University of Tuzla, making it the first BiH University to undergo the process of organizational reform, replacing the loosely coupled structure of strong faculties with the integrated one, of a strong University. Faculties, as organizational units, lost their legal status and the role of University was strengthened. This change was introduced by the new Canton’s Higher Education Law, which was put into force by a decision of the Canton’s Assembly in 1999. The result was the restructuring of administration and academia into the so-called integrated University model. The most significant change from the restructuring was the centralization of administrative tasks and budget at the University level. Academic issues, however, remained solely the responsibility of faculties’ management teams, the Scientific-Teaching Councils, and the Senate. In addition, not all budgets were centralized. The faculties kept their so called sub-accounts for research and science projects. The new management structure is shown in Figure 8.1.

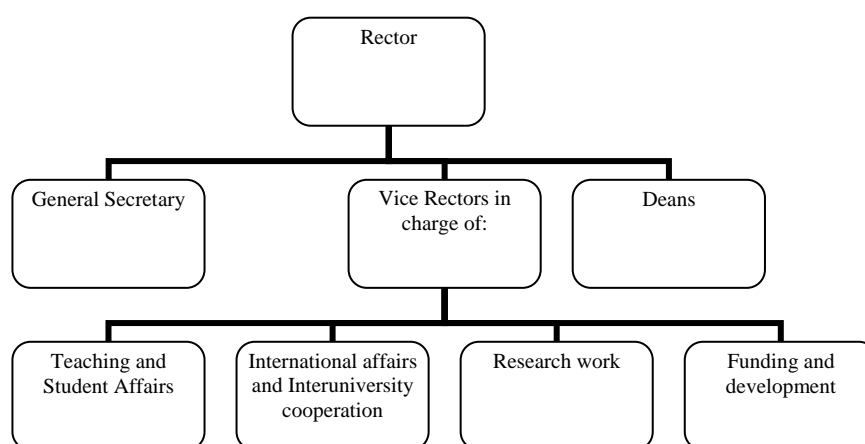


Figure 8.1. The management team of the University of Tuzla (University of Tuzla, 2003a: 8)

In the Institutional Development Plan prepared by the University, this structure is considered as a 'modern management structure' (University of Tuzla, 2003a). Concerning the governance of the University, the new structure accommodated a number of changes, such as reduced number of Governing Boards. Prior to restructuring, every faculty had been a legal entity and had a separate Governing Board. After restructuring, only the University's Governing Board remained. In addition, the roles of the Deans, Vice Rectors and Rector were changed. An important consequence of this aspect of reorganization was the promotion of the University's management from a ceremonial to a top management role, whereas faculty management was now seen as a middle management role. Further consequences were that, by faculties losing legal status, Deans were then responsible solely for academic affairs. At the University of Tuzla Deans are elected in the following way: the Scientific-Teaching Council votes and proposes a candidate for Dean, and the Senate verifies the proposal. This proposal can be either approved or rejected by the Governing Board. If approved, the candidate is submitted for final approval to the Tuzla Canton's Ministry of Education, Science, Culture and Sport. The decision of the Ministry is final. If the Ministry approves the proposal, the candidate gets the call to be Dean. In case of rejection, the election procedure has to be repeated. In most cases, the Canton's government accepts faculty/University candidates for the Dean's position, although there are some exceptions⁶⁸ to this rule.

Another feature of the integrated University is seen in enhanced role of the Rector and Vice Rectors Offices. For example, the Office for Teaching and Student Affairs, headed by the Vice Rector, emerged as one of four offices with integrated functions. This Office became responsible for collecting information from faculties about their Teaching Coverage Plan Proposals, student achievements, departments – disciplines, and new curricula proposals. The Senate became responsible for the appointment of new teachers and associates. The Governing Board was to be responsible for handling proposals from the Senate about the number of first year students to be enrolled at the faculties and academies, as well as the about tuition/participation fees per study year.

As the then Rector commented, after the introduction of the new Higher Education Law, the University almost started from 'zero': "there was a need for termination of faculties' accounts, opening of the joint University account, organizing of the post service, organizing finances, making strategic decisions and specific rules with regard to the way salaries are paid

⁶⁸ In 2004, the Canton's government rejected a proposal from the University and Faculty of Economics to appoint an elderly professor to the position of Dean. The reason given was that he would retire in a less than a year.

out, ways of financing postgraduate and doctoral studies, defining job descriptions of the Rector, Vice Rectors, General Secretary and faculty staff, which is basically a human resource plan, since I have signed the employment contract with every staff member.” (#1 Rector, theme: Overload of Initiatives, category: Initiatives)

The General Secretary also described a chronology of activities in adopting the new rules and procedures: “Deadlines for some procedures with regard to Master and doctoral (PhD) degrees were more flexible, and were postponed until the end of September 2003. All other procedures had to be defined through the University Statute (i.e. University Rulebook). For instance, we could not register the University, as a new legal subject, at the Court without the University Statute. It determined organization and responsibilities of all organs, such as the Rector, Senate, and Governing Board. Thus the Statute and University Law, which is an establishment act, resulted in the registration of the University at the Court. When we had finished with all these activities, we started with preparation of other Rulebooks that defined internal rules and procedures. For instance, all employees at faculty level became University employees and entered into ‘new’ job contracts. In order to be able to offer and sign the job contracts, we established a Rulebook that defined Rules, Obligations and Responsibilities of University employees. We then defined a Salary Rulebook, Publishing Rulebook, Rulebook on Governing Bodies, and so on.” (# 27 General Secretary, theme: Overload of Initiatives, category: Initiatives)

Senate members’ mandate is two years⁶⁹. The Senate comprises of: two representatives from each faculty (Dean and one senior lecturer), Rector, Vice Rectors, Director of the Student Center, and three student representatives (i.e. president of Student Association, representative from the group of social sciences and representative from the group of natural sciences). At Senate meetings, the following obligatory issues are on the agenda:

- 1) announcement of positions for appointing candidates to teaching and associate positions;
- 2) appointment of candidates to the teaching and associate positions
- 3) proposals from Scientific-Teaching Councils concerning evaluation reports regarding the awarding of PhDs, PhD topics/themes, and the allocation of PhD supervisors.
- 4) the appointment of PhD committees: for defense and for evaluation.

⁶⁹ Introduced in 2006, the latest law amendments extended this mandate to four years.

When it comes to more practical issues, such as employing new staff, getting new equipment, executing extra payments for the staff, all relevant decisions are made by the Senate. A Dean and a respective faculty's Scientific-Teaching Council make a proposal, which is discussed by the Senate members and then either approved or rejected. In this way, a Dean cannot take major decisions, for example, approving a sick leave beyond the statutory three days. If teachers and associates need longer absence (e.g. attendance to seminars and conference), they now have to ask the University's central administration for permission.

The reorganization process intended to enhance the University's efficiency and effectiveness through integration of its resources. The Canton's Government, on the other hand, instead of dealing with every faculty separately now deals only with the University as the main mediator between the faculties and Canton. Students do not enroll at faculties but at the University, which gives them the formal⁷⁰ possibility of flexibility in tailoring their study portfolios to suit their own needs. Human resource management is also located at the University level. Hence academic and administrative staff is affiliated to the faculties but are employed by the University. This new model is seen as reflecting what is expected from the University: "We are copying from others, in order to find an appropriate model. Nowadays, the whole world is implementing education system reform. We cannot make a ten-year plan, since change is happening on a daily basis. We are building the new system and at the same time already looking beyond it. Even Europe does not know what and how [the future will bring]. The Bologna Declaration aims at harmonizing curricula. Our problem is not the signing of the Bologna Declaration, but how to implement it. We have to fight our real problems, i.e. money and people. If we are also expected to find a concept, then I am afraid that it will be too complex a task for us." (#2 Dean, theme: Imitation, category: Copying)

Reorganization also involved more structural changes, whereby staff at faculty level was reduced and staff at the University level increased accordingly. For example, beside the Dean, staff that remained at the faculties included: Vice Dean for Teaching, Vice Dean for Science and Research, deputy General Secretary, and Student's Service staff. At the University level, on the other hand, three Vice Rectors' Offices and three University's services were established: the Office for Teaching and Student Affairs, the Office for Science and Research, the Office for Interuniversity

⁷⁰ This formally given possibility is related to a rather low number of elective courses (e.g. 5, out of 30, ECTS credits per semester) that students are allowed to take.

cooperation, the Service for Legal and Human Resource Affairs, the Economic and Financial Service, and the Maintenance Service.

January 2002 - December 2003: Taking on service- and profit- oriented character, Expanding activity domains

There were several areas of activities that the University's management dealt with in this period. These areas included an Analysis of students' achievements, the establishment of new and the transformation of the existing study programs, Curricula Reform, the introduction of the European Credit Transfer System (ECTS), proposal to modify the Canton's Higher Education Law, and preparation of the Institutional Development Plan. From the data it can be seen that the University's management engaged in a number of processes ranging from ensuring a more efficient- and service-oriented organization, the expansion of activity domains, to formalizing change.

Students' achievements: enhancing efficiency and effectiveness

Emphasis on the University's efficiency emerged at the Senate meetings in early February 2002, when the Office for Teaching and Student Affairs was delegated a task to prepare a report on student achievements for the school year 2001/2002. A main purpose of such an analysis was to improve students' results and to offer an analysis of how 'productive' the University was. The Senate made nine decisions with regard to the student achievement issue. Some of these are in this study considered of a more symbolic change nature, such as: a) asking for a continuous follow-up Analysis of students' achievements in order to improve it; b) giving support for an introduction of Information Software in Students' Services; c) emphasizing a need for unique methodology for the Analysis of students' achievements and redesigning a student exam application. Other conclusions are in this work considered of a more substantive change nature. They are related to, for instance: a) delegating Analysis preparations to the faculties and generation to the University level, b) appointing a committee to prepare working material for the Analysis of students' achievements, and c) asking the General Secretary to check regulatory laws for justifying life-long pedagogical education for those associates and teaching assistants who have not completed the pedagogical group of subjects (e.g. assistant professors at engineering subjects).

In November 2002, after several months of asking for the above mentioned decisions to be implemented, and after four faculties had submitted their Analyses, a discussion on the Analysis of undergraduate students' achievement appeared again on the Senate's agenda. The discussion referred to a low percentage of student achievements, working conditions, equipment level, as well as finding solutions for improving better results in teaching

process at the University. Based on this discussion, the Senate produced twelve points for action, which are considered as more concrete than their previous decisions. For instance, Deans were given the responsibility to redo the analysis at their faculty level, and to use a table prepared by the Faculty of Electrical Engineering, which is in this situation used as a role-model for others. When it came to students, several measures were defined. For example, regular students were to be offered a partial exam period in January-February and to be offered supervision; students' councils were to be organized for all study years; consultation hours for students were to be announced clearly; if needed, additional seminars prior to the exams should be offered; recommendations were made for curricula updates; and the Student Association was asked to introduce teachers evaluation. Two academic staff members were asked to prepare an overall Analysis of students' achievements 2001/2002. Other measures discussed involved engaging lecturers from other universities for subjects where only one lecturer was currently appointed.

These examples indicate how a concerted effort was made at University level in order to 'put in order' the new practice by emphasizing the efficiency and effectiveness of the new system. In addition, the University staff was given instructions for making some improvements to increase students' achievements. Hence for the purpose of this study, these examples represent substantive change outcomes. In addition, emphasis that all activities of teachers, associates and students have to be in line with the Codex of Teachers' Ethics and Codex of Students' Behavior is considered as both a symbolic and substantive change outcome.

Transformation and establishment of the study programs: Expanding the organization, activity domains and services

In April 2002, the Senate supported a life-long learning initiative. As a result, students that had completed two years of education at the University were given the opportunity to enroll for a third year and to continue their education. The University benefited from this in two ways: 1) these students were obliged to cover their tuition fees, which implied a higher income for the University, and 2) additional study year provided three-year study programs, which could be in future easier transformed into undergraduate study programs.

During the period from January 2002 - December 2003, suggestions were made by several faculties and the Academy of Arts concerning the establishment of new or the transformation of existing study programs. In total, eleven study programs were submitted to the Ministry of Education, Science, Culture and Sport in Tuzla Canton for initial establishment or transformation. For the purpose of this work, the establishment and

transformation of study programs is considered as a substantive change outcome. In addition, the establishment of two new organizational units was suggested, which is also seen as a substantive change outcome: University Nursing College and Pharmaceutical Faculty. Deans were encouraged to organize new study programs. As the Rector pointed out, “We suggested the opening of new, more interesting, study programs, since we have been already implementing the Curricula Reform. Therefore, this was an innovation in the Curricula Reform - opening of the new study programs. On the other hand, we have started to introduce a Human Resource policy.” (#26 Rector, theme: Overload of Initiatives, category: Initiatives)

Another area where this kind of initiative took place was the establishment of postgraduate studies. In September 2002, there had been encouragement from the central level to establish postgraduate studies for every study program, where possible. As the Rector recalls: “We made the effort to provide postgraduate studies for every study program. This was funded from our own income. We have prepared the University Statute and the Rulebook of Expenses.” (#12 Rector, theme: Overload of Initiatives, category: Initiatives). This was followed shortly by three postgraduate curricula being proposed by the Faculties of Defectology, Electrical Engineering and Philosophy. The acceptance of these programs by the Senate can be taken as a substantive change outcome.

The expansion of the activity domain is probably best illustrated by the strengthening of the role of the Office for Teaching and Student Affairs in the area of Curricula Reform. The whole process was steered from the central level. Since 2002, all curricula changes from faculties and academies are being collected at the Office for Teaching and Student Affairs. This is seen as a substantive change outcome. The Vice Rector regularly reported about the curricula and ECTS reform at the Senate meetings. The Rector recalled the aims of the Curricula Reform and the introduction of ECTS:

Our University created such a ECTS, so that we can call it an accumulative ECTS or EC(A)TS. Our students have the possibility to obtain credits at faculties other than their own, host faculty. We defined 30 hours as a weekly workload for a student. Out of 30, 25 are obligatory at their own faculty and 5 are electives. We consider 1 hour as 1 credit. Out of 5 electives, 3 are from his specialization and 2 are from other University studies. (#12 Rector, theme: Emergence of Multiple Structures, category: Organization of Teaching)

However, there were also obstacles during the implementation of ECTS. As a member of the Bologna Team commented “There has been a lot of confusion about electives, when students from one faculty have chosen subjects from another faculty. This system is still not in place.” (#10 Bologna

Team Member, theme: Emergence of Multiple Structures, category: Organization of Teaching)

The Vice Rector for Teaching and Student's Affairs provided detailed instructions to the Senate to emphasize that Curricula Reform is a complete transformation of the curricula, not just the redefinition of the contact hours⁷¹ from the previous system. These explanations of Curricula Reform were usually underlined at the Senate meetings, where it was noted that some subjects received more teaching hours per week than it allowed by the Law, the number of hours differed among subjects, the number of groups was increased and new subjects introduced. Some rhetoric was also apparent. For instance, when necessary, the Vice Rector for Teaching and Student Affairs reminded the Senate about the importance of harmonization with the Bologna Declaration.

In November 2003, the Rector explained the need for the establishment of three years study programs at some faculties. The Senate encouraged faculties with four-year study programs to make suggestions for organizing shorter studies (i.e. two- or three- year programs) if possible. Hence, during this period, some faculties already prepared proposals for new curricula, shortened undergraduate study years, and integrated some subjects. This initiative can be interpreted as shortening and rationalization of study programs, since the University was still making efforts to cope and balance between two two-tier study models, i.e. four years at the undergraduate level and one year at the postgraduate level (4+1) and three years at the undergraduate and two years at the postgraduate (3+2).

One initiative that underlined the University's development is the 'Summer University'. In 2002, the University allocated a budget⁷² for financing this initiative. The year after, the Rector told the Senate how experiences with arranging the Summer University were helpful to promote the University, and based on them the University dedicated more organized efforts for the 2003 Summer University event, including: an activity plan, a program board, an organization board, and a budget. In addition, a proposal by the Vice Rector of Interuniversity Cooperation for the Senate was made concerning the presentation of research projects, information programs, equipment developed at the University, graphics, posters, and art work, which should help attract students and inform them about University activities. The Senate agreed to give awards for the best presentations. The initiative developed, and in the forthcoming years it involved more activities. It required the appointment of an Organization Board with a mandate (Rector, Vice

⁷¹ cases from the Senate meeting 15th January 2003

⁷² This budget was 10 000 BAM (or approximately 5000 EUR).

Rectors, Deans, General Secretary, Rector's Chief of Cabinet, and President of Student Union). This Board was given the task of appointing an operative team and committees for activities; defining program content; coordinating with the Rector, and Vice Rector with regard to financing and development, and with the Governing Board over budgetary issues. Over time, the Summer University initiative had a tendency to promote University's image.

Committee for Publishing, Central Committee: Planning and formalizing merger

The University management continued to gain control over organizational issues. Considered as a part of a substantive change outcome, establishment and work of two committees illustrate such efforts: the Committee for Publishing and the Central Committee. In addition, the Senate initiated the establishment of a University Publishing Fund. Based on the Senate's initiative, a Committee for the Establishment of a Publishing University Fund involved three members: Vice Rector for Teaching and Student Affairs, Vice Rector for Financing and University Development and General Secretary, who were given the task of preparing a Proposal with regard to this Fund.

The Central Committee was a mechanism for harmonization of the undergraduate curricula at the University level. It consisted of the Rector, who was also a president of the Committee, Vice Rector for Teaching and Student Affairs, and Deans. On several occasions this Committee was engaged to intervene in issues of, for example, Curricula Reform and defining Home Departments⁷³ at the faculty levels. In July 2003, the Rector informed the Senate that after two years, there were tangible results regarding Curricula Reform in accordance with the Bologna Declaration. The introduction of ECTS, rationalization and shortening of some studies, as well as the integration of some subjects were also implemented. In later stages the Central Committee became responsible for harmonization of curricula. All this illustrates two things. First, the Central Committee, which was under close supervision of the University management, gained increasing control over curricula issues. Second, a symbolic change outcome of recalling support for the integrated University is communicated through the work of the Central Committee.

The importance of Teaching Coverage Plans, harmonizing curricula, and analyzing students' achievements was constantly emphasized. For instance, following students' complaints about delays in teaching plans in September

⁷³ As previously mentioned, Home Department is a rather specific term for the higher education institutions in the region, meaning that certain departments are hosted by certain faculties.

2003, the Senate concluded that Deans are responsible for making appropriate Teaching Coverage Plans, (i.e. to avoid engaging teaching associates as lecturers and exam organizers). Deans were informed that if this decision was not adhered to, the accountability of the responsible persons would be subject to legal procedures.

January-December 2004: Questioning Interpretive Schemes, Service-oriented character, Structural adjustments, Human Resource (HR) policy, Planning

During this period, the University management was mainly engaged with issues of a more substantive nature, such as organizing teaching (i.e. Teaching Covering Plans, and Home Department), defining a Strategy for Science and Research, establishing the Bologna Team, and developing new study programs. In addition, plans for establishing new centers and amendments to some organizational and institutional documents were prepared. Hence the data indicated the central level administration's engagement in a number of processes including further formalization of the University's integration, strengthening the service character, making structural adjustments, developing HR policy, and planning future activities.

Organization of Teaching: Formalizing and questioning existing interpretive schemes

The Vice Rector for Teaching and Student's Affairs informed the Senate that even though the Software package at Students' Services had been implemented, the Teaching Coverage Plan was still not completed. Main difficulties and challenges were related to faculties not submitting accurate data, and thus requiring recalculations; to some faculties wanting to be treated as clinics; to the number of students in practical groups being too small in some faculties. Thus the Vice Rector suggested a discussion on characteristics of existing teaching process. Such an approach presented an occasion for the University's management to question existing values and beliefs. As a result, several outcomes were presented. The two most important ones were: 1) an initiative to amend the Rules for Salaries and other Income (i.e. definition of salaries of teachers, associates and laboratory staff); and 2) the need to establishing new principles as a basis for norms and standards for all types of practical and instruction hours. This was an opportunity for defining Standards and Norms in Teaching. One month later, the Rector informed the Senate that a submitted proposal for Standards and Norms in Teaching at undergraduate studies was in its initial phase.

Preparation of the Teaching Covering Plan for the whole University was not easily implemented. Thus the Vice Rector for Teaching and Student Affairs used the Senate meetings to suggest that teaching process should be stabilized and difficulties with regard to, for example, employment terms of

some external associates and lack of norms for teaching assistants should be solved. The Vice Rector and Deans were given the responsibility by the Senate to finalize the Teaching Coverage Plan. In September 2004, after several months of stagnation in this matter, the Senate made several specific measures. First, there was a recommendation to faculties that assistant professors could be responsible for taking classes in cases where they do not have a sub-discipline norm. Second, a lecturer appointed at one discipline can be responsible for one two-semester or two one-semester subjects from their sub-discipline or subjects that are equivalent to their sub-discipline. Third, associates (i.e. senior teaching assistants and teaching assistants) cannot have more than 15 hours of teaching. Finally, a course group cannot have more than 150 students, and a lecturer can have maximum two teaching lines. By implementing these measures, a more centralized approach to coping with the problem of a lack of teaching staff was being established. For the purpose of this study, these measures are considered as substantive change outcomes.

In addition, the ECTS initiative caused further obstacles of a more practical nature. For example, in February 2004, the Vice Rector for Teaching and Student Affairs reported to the Senate that curricula have been finalized for first year undergraduate studies, with the exemption of one faculty. This caused difficulties with preparation of the Teaching Coverage Plan at the beginning of school year. Moreover, the Vice Rector felt that the application of ECTS to first year studies was still not clarified in practice, leading to confusion among students and teachers. In addition, the term ECTS itself is not included either in the Higher Education Law, or in the University Rules. As a result, indexes and other documents should be designed in accordance with the Bologna declaration principles. The Vice Rector reported to the Senate about the number of study profiles/programs, teaching staff, subjects, 'uncovered' subjects, exercises, various faculties' interpretations of the Rules about Salaries, difficulties in making contracts, issues of field work and contact hours in clinical work, as well as teaching of methods that needed to be decided upon. He insisted on a full discussion of these issues at the Senate since they were inseparable from the Teaching Coverage Plan.

This example shows a high level of involvement of some central administration's staff in interpreting initiatives, which resulted with questioning some of the organizational processes, such as teaching. It also shows how complex the issues of redefining organizational and system of teaching were.

New study programs, Development of Science and Research, Home Department: Strategizing and structural adjustments

In this period, a number of new study programs have been planned and organized. For example, six new study programs were organized in the areas of pharmacy, dentistry, mechatronics⁷⁴, nutrition-technological, integral security, and law. In March 2004, the Rector's Collegium held a meeting before the Senate meeting. As a result, more precise instructions on making proposals for postgraduate studies were given by the General Secretary at the Senate meeting. Proposals for postgraduate studies from three Faculties (Philosophy, Natural Sciences and Mathematics and Mining-Geological-Civil Engineering) were encouraged. In addition, other examples followed: one postgraduate study program curricula (Natural Sciences and Mathematics) was accepted; three postgraduate curricula were accepted (two at Faculty of Natural Sciences and Mathematics and one at the Faculty of Mechanical Engineering); and two proposals were submitted by the Senate to the Governing Board concerning students' enrollments for postgraduate studies at the Faculties of Sport and Philosophy. Establishment of the new postgraduate studies is considered as a substantive change outcome in this study. However, these and similar activities required continuous adjustments in the curricula. As a result, there was a need for further harmonization of teaching hours, subjects' titles, and the elaboration of curricula for some subjects. The Vice Rector for Teaching and Student Affairs stated at the Senate that this was a large undertaking and that its implementation dynamics is lower than desired.

Some decisions to establish new organizational units illustrate how the University reacted on occasions when competition was detected, i.e., University staff were monitoring the 'market'. In 2002, the information had been given to the Senate that the Faculty of Law, University of Sarajevo, has established a satellite department in Tuzla. This department was enrolling students from Tuzla Canton, and the Canton's Government in Tuzla was providing funding accordingly. As a result, the Senate decided to send a Letter of Complaint to the Canton's Ministry of Education, Science, Culture and Sport regarding enrollment policies, and made suggestions to not increase the number of regular and part-time first year students enrolled at these law studies. In June 2004, the Rector informed the Senate that the Faculty of Law, University of Sarajevo, announced the enrollment of a hundred students. The University of Tuzla informed the Canton's Ministry for Education, Science, Culture and Sport, and the Canton's Governor, about this situation and asked for their intervention. Since this issue was still not solved three months later, the Senate decided to establish its own Faculty of

⁷⁴ Mechatronics is an interdisciplinary engineering field, which is a combination of mechanical engineering, electrical engineering and software engineering.

Law. For the purpose of this study, establishment of the Faculty of Law is considered as both a symbolic and substantive change.

This period was also important for establishing a strategy for Science and Research. The Vice Rector for Science and Research presented a proposal for Strategy for Development of Science and Research. The Senate formed a Working Group of five members, with the task of continuing activities and collecting proposals from all organizational units so that the Strategy for Development of Science and Research could be finalized. Establishment of this Working Group is considered as a substantive change outcome.

The task of establishing the Home Department started in November 2004 and took twelve months before the first tangible results were seen. The Office for Teaching and Student Affairs was responsible for collecting the data on Home Departments. Information about submitted solutions was shared by the Vice Rector for Teaching and Student Affairs at the Senate meetings. In order to support the Home Department initiative, the Senate came to several conclusions: Groups of technical, natural and social sciences should be organized and these Groups should meet separately to prepare proposals for Home Departments. When recalling this period, the Rector pointed out:

We had difficulties with defining Home Departments for some natural and technical sciences. For instance, should disciplines of biology and chemistry be hosted at the Faculty of Natural Sciences and Mathematics or the Faculty of Technology? We also had some personal problems with the Mining-Geological-Civil Engineering Faculty, since they believe they should host almost all the subjects. We have found a solution. Is it the best one? It is difficult to say when you deal with such a sensitive issue. (#26 Rector, theme: Emergence of Multiple Structures, category: Organization of Teaching)

A Bologna Team member elaborated further these difficulties:

Home Department issue has been problematic, since it has been tailored to professors' desires. A problem is with people. Additional problem is that some professors got their appointments for subjects, not for disciplines. As a result, when there are changes of study programs, some subjects become 'non-existing', so that some teachers are not associated with any of the curricula until the Equivalency in Academic Appointments is completed. Furthermore, as a result of department split, some subjects are divided in different departments and some people are offended and take it personally. In general terms, that is our problem: one or two individuals always make problems and the process is slowed down because of them.

(#10 Bologna Team Member, theme: Emergence of Multiple Structures,
category: Organization of Teaching)

As this example illustrates, the University's management made efforts to accelerate the Home Department division via forming similar groups of sciences. Such an approach was expected to produce better results in a shorter period of time.

HR Policy, New Centers, Verifications of Foreign Degrees, Bologna Team, Codex of Teachers' Ethics: Planning, formalizing and service orientation

In order to expand control and harmonization among faculties, the University's management made some substantive changes in this period. For instance, a Committee for preparation of Proposals on Socio-Economical reasons for organizing two-year study programs was established. This Committee consisted of twenty-eight members: Vice Rector for Teaching and Student Affairs, General Secretary, Deans, and deputies General Secretary. Moreover, Deans were given responsibility to form sub-committees to prepare Proposals and coordinate with the Committee. These committees were established in order to formalize tasks for new study programs.

Besides establishing new programs, planning and service-oriented components were introduced by proposals on establishment of the new University's Centers. In February 2004, based on recognized needs, the Senate suggested the organization of three centers: Center for Languages, Center for Education and Media Center. The Center for Languages aimed at encouraging life-long learning for students and staff as well as offering service to others through short courses and seminars. The Center for Education was seen as a means for the realization of life-long learning strategies specified in the Institutional Development Plan for the environment, which is part of University activities. The Media Center was seen as important for developing understanding and support of the University's mission and needs both with regard to its internal and external environment, the creation of a positive image for the University, as well as planned, systematic and professional communication with the public based on contemporary scientific findings, and the application of modern technologies and professional standards. University Acts ought to define internal organizational and systematization of staff for these three centers. In addition, there was a proposal for the organization of Center for Publishing Service, which was supported by the Senate. A reason for such decision is given in a Senate's memo: "Based on law regulations and conditions for undertaking publishing activities, the organization of activities related to publishing and the printing of publications, special publications, textbooks and other teachers' means, journals and periodicals, as well as keeping the

evidence of published textbooks and other teachers' means, the Center for Publishing Services is established" (Senate's memo, translation provided). Internal organization and systematization of staff was regulated by the University Act. This proposal was submitted to the Governing Board for further processing, and is seen as a part of a substantive change outcome.

Another illustration of new service- and profit- oriented tendency of the integrated University organization was the issue of Verification and Equivalence of Foreign Schools' Degrees and Certificates. The introduction to this process was given by the Rector at one of the Senate meetings, whereby he "gave reasons for amending the University Rules and expressed the desire that, after signing the Lisbon Declaration⁷⁵, the University of Tuzla would be the first to introduce Verification and Equivalence of Foreign School Certificates. Unlike the existing procedure, the new procedure should be more expedite" (Senate's memo, translation provided). In May 2004, the Senate decided upon a Proposal for the Rules about Verification of Foreign Diplomas and Equivalence of Public Certificates. This decision was submitted to the Governing Board. As a result, in cases where there was a request for Verification of Foreign Schools' degrees, the Senate appointed a Committee that used these rules and decided about each case separately. Over a period of two years (i.e. from 2004 to 2006) the University issued 129 verifications. Again, this example shows how important it was for the University to be pioneer in following European trends (e.g. the Lisbon Declaration). For the purpose of this work, this example indicates both a symbolic (e.g. being a pioneer in introducing changes) and a substantive change outcomes (e.g. verifications procedures).

In the similar vein, the establishment of the Bologna Team is considered as a substantive change outcome. Objectives for its establishment included the promotion of the Bologna process within the academic community; research into Bologna achievements and goals (three-tier studies, diploma supplement, ECTS, Quality Assurance (QA), life-long learning); follow-up of regular two-year ministers' conferences and their conclusions, as well as the implementation of these conclusions; and the development of reform movement among students, teachers and other staff. In May 2004, the Bologna Team was appointed by the Senate with a mandate of two years. It consisted of twenty members: the Vice Rector for Teaching and Student Affairs, the Vice Rector for International Affairs and Interuniversity Cooperation, the General Secretary, ten academic staff, three administrative staff, and four students. The President of the Bologna Team was the Vice Rector for Teaching and Student Affairs. Tasks of the Bologna team were: to

⁷⁵ The Lisbon Declaration is a declaration about Verification of Higher Education School Certificates in the European region. It is signed in Lisbon on 11 April 1997.

maintain web presentation; to be responsible for public relations of Bologna reforms at the University; to organize round tables, workshops, seminars and specific lectures about urgent Bologna topics; and to be advisers to the Governing Board, the Senate, the Rector, QA Office, ECTS Office. Even though this team was given a primary responsibility in following-up the Bologna Process development and preparing the necessary documentation, it faced many obstacles. These obstacles were chiefly due to the academic staff at various faculties, and the team's lack of mandate to interfere in issues of other organizational units. Therefore, compared to the Central Committee or Office for Teaching and Student Affairs, the Bologna Team is considered as having a somewhat vulnerable mandate.

The integrated University model was further formalized by a procedure of defining and producing the final version of Codex of Teachers' Ethics. The Senate appointed a five-member working group to finalize a proposal on amendments to the Codex of Teachers' Ethics. The work group prepared amendments that mainly addressed establishing of a Ethics Committee, with four main objectives: ensuring that the Codex is respected, implementing a procedure in cases where Codex is not respected, giving a personal or public warning in cases where the Codex is not respected, and proposing a penalty to be levied by the Rector in cases where the Codex and/or work obligation is not respected. The Ethics Committee was founded with 7 members, one of whom was to be a student representative. This Committee was appointed by the Rector for a two-year period and its work defined by Working Rules of the Ethics Committee, which in turn was proposed and agreed upon by the Ethics Committee. In this study, appointing of the Ethics Committee is considered as a substantive change. In addition, the Senate initiated a proposal for Ethics Codex in Science and Research. This is also an example how two initiatives (Codex of Teachers' Ethics and Ethics Codex in Science and Research) got intertwined.

Expanding University management control and strengthening the HR policy was another issue addressed during this period. After the momentum of establishing new study programs, the University was even more affected by a lack of adequate teaching staff. In order to compensate for this lack of staff, a development component was introduced:

Our HR policy involves several steps: we examine a situation at one faculty, identify subjects that are not covered and whether we have potential candidates. These candidates are encouraged to take postgraduate degrees and further doctoral degrees. Professors who work as external associates remain for a certain period of time, as a sort of link in a transition period. Some of them leave. ...My motto was that wherever we have an undergraduate course, we also needed

a postgraduate course in order to educate our own staff. (#26 Rector, theme: Overload of Initiatives, category: Initiatives)

In June 2004, the Rector was asked to make announcements for appointments of teachers and associates on subjects at newly organized faculties and study programs, as well as for promotions of employees that fulfilled necessary conditions. These announcements were intended to be based on Deans' proposals, but six months later, the Senate decided that the University management team would be responsible for decisions on teaching vacancies, and that the decisions should be made in accordance with the Higher Education Law and University Rules. Vacancies were to be announced based on evidence from the University Expert Service, without proposals from the Scientific-Teaching Councils or any decision from the Senate. This new practice in renewing academic appointments is considered as a substantive change outcome.

January-December 2005: Strategizing, Formalizing Control, Restructuring Interpretive Schemes

This period was characterized by formalizing control of the central level management and the Rector, emphasizing responsibilities of the faculty management, restructuring of interpretive schemes, and further strategic planning about issues such as Development of Science and Research.

Student Quotas, Diploma Supplement, Home Department: Formalizing control and structural adjustments

In 2004, plans about student enrolment quota and tuition fees were prepared and discussed at the Senate meetings, prior to their final approval by the Governing Board. This was important, since the University's budget was determined on a basis of such plans. In this period, the Rector was given responsibility to negotiate the proposed student's quota and tuition fees with the Canton's Government on behalf of the Senate.

We have made a deal with the government to increase a number of enrolled students over the quota number wherever we had available capacity. These students formed an additional group, i.e. Students for Personal Needs (SPN), who covered their tuition fees. The idea was very successful, since every year we noted an increase in SPN. (#12 Rector, theme: Overload of Initiatives, category: Initiatives)

As Table 8.2. shows, there was no clear relation between the Canton's budget and the number of students enrolled. On the other hand, the SPN students contributed with extra income of 1.990.663 BAM in 2004 (University of Tuzla, 2005). In 2005, there has been an increase in SPN's generated budget to 2.241.336 BAM (University of Tuzla, 2006). The University also generated extra income from other activities, such as: fees

from part-time students, fees from postgraduate students, fees from verification of foreign schools' certificates, income from the research, and so on (University of Tuzla, 2006). Thus, as the research period developed, so did the University's market orientation - albeit gradually.

Table 8.2 Tuzla Canton's Budget and Number of Students (sources: Tuzla Canton (2007) and Federal Statistical Bureau (2006))

| Year | Budget (BAM) | No of students |
|------|--------------|----------------|
| 1999 | 9.458.024 | 7.377 |
| 2000 | 11.298.353 | 7.538 |
| 2001 | 10.121.600 | 7.294 |
| 2002 | 9.951.300 | 8.455 |
| 2003 | 11.649.800 | 8.926 |
| 2004 | 12.646.500 | 10.369 |
| 2005 | 14.786.900 | 11.399 |
| 2006 | 16.329.300 | Not available |

This indicates that the University continued to formalize its role and control over a number of issues in higher education. Furthermore, the Senate emphasized the responsibility of Deans and teachers in charge of postgraduate programs for the implementation of postgraduate programs. Any amendments made, especially with regard to the teaching procedure, had to meet criteria of the already established procedure (i.e. all changes first had to be confirmed by the Scientific-Teaching Councils and then verified by the Senate).

A more symbolic type of change is shown by monitoring and adapting to the 'Bologna Goals', and one of them being a Diploma Supplement⁷⁶. In April 2005, after discussing the needs for a Diploma Supplement and explanations from the Vice Rector for Teaching and Student Affairs, the Senate decided to support preparations of the Diploma Supplement for undergraduate studies. By so doing, Deans became responsible for submitting proposals concerning the Diploma Supplement to the Bologna Team, which was, in turn, given the task of preparing a final proposal of the Diploma Supplement and of submitting it to the Senate. After a public University debate and written proposals from the faculties and academies, the Vice Rector for Teaching and Student Affairs has prepared a template for the Diploma Supplement for undergraduate studies. Again, importance of following closely the Bologna objectives was emphasized.

⁷⁶ Diploma Supplement is one of several goals of the Bologna Declaration aiming to provide a system of easily readable and comparable degrees.

Additional structural adjustments were made with regard to a number of issues, such as: the Home Department, new organizational units, amendments to University rules, and measures for better students' achievements. For instance, in September 2005, Deans were asked to organize meetings and prepare proposals for the Senate regarding the disciplines' and departments' locations. First results about the Home Department issue were presented at the Senate in November 2005, when the Vice Rector for Teaching and Student Affairs informed the Senate about disciplines' and departments' locations at eight faculties. This is considered as a substantive change outcome in this work. Following these first results, the Vice Rector for Teaching and Studying Affairs was asked to organize a meeting of the Deans of the five remaining Faculties that still did not agree on the Home Department issue.

A proposal about amendments to University Rules concerning student representation in the Senate, was prepared and submitted to the Governing Board. This proposal introduced a student-coordinator position into the Senate, indicating that the Senate was taking on a more democratic profile. For the purpose of the study, this is seen as a substantive change outcome. In relation to the democratic make-up of the University, the Senate also supported the institutional organization of a Students' Union. Its criteria, appointment conditions, scope of work, working time, mandate and status were to be defined by the separate University Act.

Several change-related outcomes were particularly important during this period. In September 2005, the Deans were asked to submit information about the number of enrolled students to the Office for Teaching and Student Affairs on a daily basis. In addition, Deans were asked to organize thematic debates during the meetings of the Scientific-Teaching Councils in order to suggest measures for better student achievements in the next exam period. Again, efficiency was questioned, and measures for better students' achievements that are illustrated are seen as a substantive change outcome in this work. Moreover, Deans were asked to prepare lists of teachers and associates whose contracts were expiring, as well as list of 'golden students'⁷⁷ so that they could be recruited onto the teaching staff of the University. Therefore, for the purpose of this study, the emphasis on increasing a better information flow in the system and its efficiency, the measures for better students' achievements and recruiting of the best students are all seen as substantive change outcomes.

⁷⁷ 'Golden' students are students with a GPA over 9 (range of grades 6-10), who are awarded a so called University's Golden Placate.

As in the earlier periods, expansion of the organization was indicated by additional study programs. For instance, in January 2005, a decision was reached by the Senate about postgraduate studies at the Mining-Geological-Civil Engineering Faculty, whereby the Civil Engineering postgraduate program was accepted and forwarded to the Governing Board for the further procedure. At this time, a decision was also made concerning postgraduate study programs in Pedagogy, Psychology and History at the Faculty of Philosophy. Introduction of these programs is considered as a substantive change outcome in this study.

In June 2005, the Senate initiated the organization of three-year undergraduate studies at the Faculty of Philosophy and Faculty of Sport. Details of this initiative were submitted to the Ministry of Education, Science, Culture, and Sport. The documentation about the initiative emphasized that law amendments already provided the preconditions for three-year undergraduate studies. In September 2005, emphasizing the recognized needs for enrollment into the third-year of undergraduate studies at the Faculty of Philosophy, the Dean and Vice Dean were asked to organize conditions for students' enrollment. This example indicates opportunistic behavior by the University, since they referred to opportunities provided in existing law regulations.

Development of Science and Research, Proposal for Standards and Norms in Teaching: Strategizing and interpretive schemes restructuring

The Strategy for the Development of Science and Research was discussed again in February 2005, when the Vice Rector for Science and Research presented a modified proposal on this issue. The Senate discussed this proposal and asked the Vice Rector to finalize it, based on written suggestion from Deans and faculties. One month later, several suggestions on what such a proposal should contain were made. These included, an evaluation of the existing situation; definition of fields/disciplines and directions for research; suggestions for Science and Research organization; definition of the intellectual market with regard to the Bologna process; information on the non-governmental sector, firms and companies; new equipment; proposal for work in a period of transition until legislative procedures are adjusted and fixed funds are secured for research; and the preparation of Framework Rules for Science and Research. Accordingly, the Vice Rector for Science and Research was asked to modify the proposal. In June 2005, based on documentation from the faculties and academies, the Vice Rector prepared a presentation of the scientific research and art activities of academic employees during the period 2000-2004. The Rector informed the Senate that in future, an annual University bibliography would be issued. The Vice Rector for Science and Research was asked to start preparations for the

Annual Bibliography 2005⁷⁸, including information on teaching and research performed by the staff. This is seen as both a symbolic and substantive change outcome, since it gives signals that performance of staff is important for the organization.

In May 2005, there was a discussion of the Proposal for Standards and Norms in Teaching in Undergraduate Studies. These standards defined the number of teachers and associates required in the teaching process, what subjects should be covered and by whom, the maximum teaching load, and the ideal number of students in a study group. In addition, these standards were used for preparation of the Teaching Coverage Plan 2005/2006, and were incorporated into the Rules about Salaries and Other Income. For the purpose of this work, these standards are seen as a substantive change outcome.

January-December 2006: Strategizing, Requesting accountability, Coping with the emerged challenges

This period was mainly characterized by the formalization of mergers in the areas of research and QA, the diversification of study programs and, where possible, transition towards a two-tier (3+2) study cycle. As a result, some structural adjustments took place. In addition, this period was a quite turbulent for the University management since the Rector had to leave his position, even though he was elected and appointed for a third consecutive period.

Development of Research and Science, Quality Assurance, Home Department: Formalizing merger, requesting accountability

In July 2006, there was a discussion on a Proposal for the Organization of Science and Research, which was a continuation of the Strategy for Development of Science and Research. While Deans were asked to submit written suggestions, remarks and proposals to the Office for Science and Research by August 21st, this initiative was given momentum in October of the same year when the Senate appointed eight Committees related to organization of Science and Research. For the purpose of this study, the appointment of these Committees is seen as a substantive change outcome. During these follow-up activities for the Development of Science and Research, the Committees were asked to prepare Proposals on reorganizing scientific and research work into the following research and development institutes: Research and Development Institute for Engineering and Technical Science, for Social Sciences, for Humanities, for Biomedical Science, for Natural Sciences, for Art and Theaterology. They were also

⁷⁸ Both Bibliographies (i.e. 2000-2004 and 2005) are issued and available at the University web site: www.untz.ba

asked to consider the establishment of a University Service Center including a Central Laboratory, Center for Languages, Central Library and Center for Publishing. Upon input from these Committees, the Central Committee was asked to prepare a unified Elaborate for the Senate. Taken together, these efforts demonstrate the tendency for integrating science and research activities under the close supervision of the Central Committee, which is considered as a substantive change outcome in this work.

In October 2006, based on a proposal from the Extended Rector's Collegium, the Senate made a Proposal for the maximum teaching load for 2006/2007. This proposal was forwarded to the Governing Board, so that it could initiate a proposal at the Canton's Government for amendments to the Standards and Norms of Higher Education. In addition, the payment for examinations conducted by teachers from other Universities was defined. For the purpose of this study, the proposal on amendments for Standards and Norms in Higher Education made by the University's staff and submitted to the Canton's Government is seen as an institutional change outcome.

In April 2006, the (new)⁷⁹ Vice Rector for Teaching and Student Affairs reported to the Senate that ten faculties had decided upon their Home Departments, but that three (Academy of Art, Education-Rehabilitation Faculty and Faculty of Philosophy) still needed to agree upon theirs. Deans were asked to meet and resolve this issue. Shortly after, the Academy of Arts was able to comply, leaving the Faculties of Education-Rehabilitation and Philosophy as the only ones not to have done so. They were in dispute about their Home Departments, which made it impossible to revise the proposals from other Scientific-Teaching Councils on the appointment of teachers and associates. Deans and Vice Deans from these two faculties were warned that they were responsible for any further University-wide consequences that these delays may cause. Consequently, in May 2006, based on the proposal from the Office of Teaching and Student Affairs, the Home Departments at the Faculties of Education-Rehabilitation and Philosophy were agreed upon. This example shows how pressures from the central level and requests for accountability at the faculty level, accelerated the resolution and implementation of the Home Department issue at the two faculties. It also illustrates the role played by the Office for Teaching and Student Affairs in coordinating the Home Department issue.

⁷⁹ The 'old' Vice-Rector was at that time temporarily appointed as a Rector (i.e. acting Rector)

Equivalency of teachers' appointments, 3+2 study model: Strategizing and coping with emerged challenges

The move towards three-year studies within so called University Colleges, which were previously offering two-year studies, commenced in April 2006. The organization of four three-year studies at the University Colleges was supported: two at the Faculty of Philosophy, one at the Faculty of Sport, and one at the Faculty of Economics. University Colleges are sub-units of their respective faculties. Four committees were appointed to prepare Proposals on the Socio-Economic reasons for establishing these studies, in accordance with the Canton's Higher Education Law and University Rules. This is considered as a substantive change outcome. One month later, these Proposals were submitted and forwarded to the Ministry of Education, Science, Culture and Sport for further procedure, and a proposal on the number of students enrolled in these studies was made and forwarded to the Canton's Government for their approval. The Rector explained the rationale behind this decision: "Concerning the opening of the three-year study programs, we have been of opinion that two-year studies should no longer be located at the University. If the University should be organized according to the Bologna principles, then there is a need for the Bachelor's University studies. Thus we have realized that all those two-year studies can be transformed into the three-year Bachelor studies. As a result, three-year undergraduate studies become equivalent to the four-year undergraduate studies. However, in 3+2 model, postgraduate study is lengthened by one year compared to the 4+1 model. By so doing, we increase the attractiveness of our study programs and broaden the offer for students." (#26 Rector, theme: Overload of Initiatives, category: Initiatives)

Another example involved the transformation of existing five-semester studies into three-year studies. In June 2006, based on a proposal from a Dean of the Mining-Geological-Civil Engineering Faculty, a committee was appointed to prepare a Proposal on Socio-Economic reasons for the transformation of one five-semester study program into a three-year program on 'Safety and Health Engineering'. Based on the proposal of the Scientific-Teaching Council of the Mining-Geological-Civil Engineering Faculty, the Senate asked the Dean and the General Secretary to consult the Canton's Committee for Legal Affairs and to prepare a proposal with regard to the Proposal on Socio-Economic reasons for transformation of five-semester into the three-year study. Such an approach indicates efforts towards creating a 3+2 study model, which may be profitable in the future in case other BiH's Universities choose the same study model. For the purpose of this work, such efforts result with a substantive change outcome.

These examples show two things: first, the University's intentions to adapt to Bologna principles (e.g. 3+2 study programs) are clearly emphasized; and

second, its new, profit-oriented character is very evident. This latter point is even more noticeable when efforts to increase the number of students, especially for studies where students themselves cover tuition fees (i.e. SPN students) are considered. In July 2006, based on proposals from the faculties, the Senate made a decision to increase the number of students to be enrolled in undergraduate studies in 2006/2007. This decision was forwarded to the Governing Board. The faculties were encouraged to enroll more SPN students who had passed the qualifying exam in the second enrollment phase, dependent on space and human resources capacity.

New study programs, new organizations units, PhD programs: Diversification and structural adjustments

Despite efforts to transform the two-year studies into the three-year studies, initiative for creation of the two-year study programs also continued. For instance, the University Nursing College proposed new two-year programs. In addition, the Scientific-Teaching Council of the Medical Faculty continued with efforts for the transformation of the University Nursing College into a Faculty (i.e. Nursing Faculty). A committee was appointed to make proposals on the new study programs. This is considered as a substantive change outcome.

In addition, activities on the standardization of PhD studies started in December 2005. Based on the Rector's proposal and a recognized need, a Committee for the Preparation of Directions on the Organization of PhD Studies, was appointed. Its tasks were: to define conditions for admission to the PhD program; to define the organization of the PhD program in accordance with the Decision on Amendments of the University Rules. Appointment of this Committee indicates a substantive change outcome, since more standardized approach to organization of this type of studies is undertaken.

In October 2006, as proposed by the Office for Teaching and Student Affairs, the Senate appointed a thirteen-member Committee to defining directions for the organization of one-year postgraduate studies. The Committee was asked to select a chair, and to prepare directions for the organization of one-year postgraduate studies in accordance with the Higher Education Law and University Rules. This initiative also indicates efforts to diversify the study programs and portfolio, and to enhance the University's service-oriented character.

Replacement of the Rector and continuity for reforms

The year 2006 was quite a turbulent one for the University management. In February, due to an irregular appointment procedure, the Rector was dismissed and the Vice Rector for Teaching and Student Affairs was

temporarily appointed as acting Rector. The reason behind this 'irregular' procedure was the appointment of the previous Rector for a third consecutive mandate, whereas it had previously only been allowed for Rectors to have two periods in the office. Thus the whole situation culminated when a proposal on amendments was made suggesting, among others, the prolongation of the Rector's mandate for more than two consecutive periods. Such proposal was sent from the Senate to the Governing Boards and forwarded further to the Canton's Government. Apparently, the suggested amendments were in line with the Higher Education Law and the University Law, but the procedure for the Rector's election was not in accordance with the Law of Ministers, Government and Other Appointments in the FBiH. It created a strong resistance from the Canton's Higher Education Union representatives, and chain of events led to a dismissal of the Rector by the respective Canton's Ministry of Education, Science, Culture and Sport and the Canton's Government. This was done by issuing the court verdicts that rejected the decision of the Governing Board for the Rector's election and appointment for the third consecutive period.

In the aftermath of this dismissal, the discussion at the Senate revealed positive and negative opinions about the recent events at the University revealing strong emotions. The next Senate meeting was attended by the representatives from the Canton's Office for Legal Affairs, Ministry of Education, Science, Culture and Sport, and Canton's Higher Education Union. There was only one issue on the agenda: amendments to the University Rules. Based on working material prepared for this meeting, which also included suggestions from the Canton's Higher Education Union and Scientific-Teaching Councils, the proposed amendments encompassed a number of issues, such as the procedures for the election of Rectors, Vice Rectors, Deans, and the Director of the Student Center. A common denominator for all these electoral procedures was to be that proposals about all candidates that applied for the position must to be given publicly, and that those receiving the majority of votes should be submitted to the Governing Board. For instance, the Senate prepares the proposals in the case of elections for the office of Rector, whereas both the Senate and Scientific-Teaching Councils prepare proposals in elections for the office of Vice Rectors. Scientific-Teaching Councils at every faculty makes proposals in the case of election for the office of Deans. In addition, the Rector gives his/her suggestion about Vice Rectors, Deans, and the Director of Student Center to the Governing Board. All voting procedures are made public.

One of the incidents linked to the Rector's replacement was related to a request from the Canton's Higher Education Union's representatives to attend the Senate meeting in February 2006. This was approved and the Higher Education Union was granted observer status at the February

meeting. The Senate accepted the proposal from the Union's president, so that the Union appointed a permanent delegate to be present at the Senate meetings as of May 2006. This is considered as a substantive change outcome.

8.3 Conditions for Change: Perceived Ambiguity and its Sources

Ambiguity perceived by organizational members was indicated by several factors. For instance, lack of financial means and resources was frequently emphasized as a main obstacle in deciding upon future organizational action. In addition, the inter-organizational ambiguity for the University of Tuzla seemed to be related to a lack of information over which study cycle models other BiH Universities would adopt. This was likely to have consequences for mobility of students country-wide. Table 8.3 shows the interpretive framework for perceived ambiguity.

Table 8.3: Data Structure for Theme: Perceived Ambiguity, University of Tuzla

| 1 st Order Categories | 2 nd Order Theme |
|----------------------------------|-----------------------------|
| Financial issues | Perceived ambiguity |
| Procedural complexity | |
| Inter-organizational complexity | |
| Individual dilemma | |

Perceived ambiguity

There are four main areas in which the interviewees perceived a lack of certainty and ambiguous situations and which led to difficulties in defining further steps and making decisions as to what should be done. The four areas are financial issues, procedural complexity, inter-organizational complexity and individual dilemmas. One example, under the heading of financial issues, was the inability to negotiate with the Government about real study costs. As the Rector commented, "We have not succeeded to negotiate with the Government how much is the cost for a student, and how much the Government is obliged to pay for one student. The Government uses a formula established in 2000 and in the last six years did not increase University funding, even though the University has developed if we take into consideration introduction of 13 new study programs, establishment of 4 new Faculties and employment of 400 new employees... We also did not succeed to negotiate with the Government over costs of specific study programs. We succeeded to say that costs differ but we did not specify how much they differ." (#12 Rector, theme: Perceived Ambiguity, category: Financial issues)

Such an ambiguous financial situation had a direct impact on the University's financial capabilities. Due to 'lump sum' governmental funding, it was not easy to make plans and develop strategies about the

University's development issues. Procedural complexity was another dimension of perceived ambiguity. For instance, the University was not able to establish its programs without the governmental approval, and response times where approval was sought tended to be rather long. As one of the Deans emphasized, "Concerning the students' demand, our reaction is constrained by the fact that we are a public institution and new study programs need to be approved by the Government, i.e. the Canton's Assembly. That takes approximately one year. Decision-making within such a system is very slow and complex. Therefore, a main driver for innovations and improvements in such a situation is an enthusiastic approach from the individual level." (#2 Dean, theme: Perceived Ambiguity, category: Procedural Complexity)

Being the first University in BiH that started implementing the Bologna principles also had some negative consequences. For example, even though the Bologna principles were European-wide, it was also important for the University to liaise with other BiH Universities. Thus at the inter-organizational level, the perceived ambiguity was also present:

The University of Tuzla model is a model according to the Bologna Principles. The Umbrella Higher Education Law would only legitimize all our efforts made so far. In a broader term, that Law would force other BiH's Universities to organize following the same model as ours. Consequently, the University of Tuzla would get other BiH's Universities as partners. I have to emphasize that we are feeling lonely, like an island, as the only integrated University that applies the Bologna rules, the only University that implemented the ECTS, the only University that introduced the two-tier study cycles 4+1, and now we are waiting to see whether the Umbrella Higher Education Law will formalize it as a 4+1 or 3+2 so that we can adjust our two-tier study cycles. We have to harmonize with other BiH's Universities. What if they choose 3+2? We also need this Umbrella Higher Education Law in order to increase mobility of students within BiH borders. (#12 Rector, theme: Perceived Ambiguity, category: Inter-organizational Complexity)

Ambiguity at the individual level - what to do in a given situation - was often emphasized by the University management: "When you start with the reform, you enter into something new, something that many of your listeners do not understand. You yourself 'see the light', others unfortunately do not see it, and that creates difficulties. The most important thing is to create the right atmosphere. Even today I have a dilemma: would it be better if I worked more slowly, and used this time until now to create an ambient and then use the remaining four years for implementation; or would it be better to impose a rapid implementation in order to create the right atmosphere? In

other words, I tried to make the best use of the time we had, because I understood how short it was going to be, if we were to do it seriously.” (#26 Rector, theme: Perceived Ambiguity, category: Individual Dilemma)

This example illustrates the type of dilemma faced by organizational members, including difficulties in convincing others of the kind of changes considered to be necessary. Even though the 1999 Higher Education Law and the Bologna Declaration provided a good foundation for introducing change, there was still a room for interpretation of various initiatives. The subsequent section will address this issue in more detail.

Sources of the Perceived Ambiguity

Similar to the University of Sarajevo data, closer examination of Tuzla data revealed three themes as sources of the perceived ambiguity. The interpretive framework for these themes is shown in the Table 8.4.

Table 8.4: Data structure for dimension: Triggers of Perceived Ambiguity, University of Tuzla

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|----------------------------------|------------------------------|---------------------------------|
| Lack of resources | Weak Institutional Context | Triggers of Perceived Ambiguity |
| Lack of law | | |
| Implementation challenges | Organizational Properties | |
| Lack of mandate | | |
| Lack of planning | | |
| Responsibility | Competing understandings | |
| Role perception | | |
| Resistance | | |

Weak Institutional Context

Even though the 1999 Higher Education Law accounted for a ‘modernized’ University, data revealed the dissatisfaction of the organizational members with the policy level, particularly with regard to two issues: resources allocation, and specifications in law articles to support academic staff in their work. When it came to the issue of lack of resources, one of the Bologna Team members described the uncomfortable situation that individual academics faced in their efforts to conduct research:

There is a lack of resources concerning publishing. Research and scientific work used to be associated with the faculties. Today, the University is responsible for this issue. On one hand, we have norms regarding publishing. On the other hand, it is difficult since we have no possibility to collect the means to publish something. Occasionally, the Ministry of Education, Science, Culture and Sport provides funding. The University still does not provide any funding. The only way is self-

funding. Our economy is poor, and sometimes we have some funding from companies. Article publishing is a problem since we do not have a systematic solution, benefits or motivation.” (#10 Bologna Team Member, theme: Weak Institutional Context, category: Lack of Resources)

Other examples follow. For instance, the data revealed a gap created by the expansion of the University organization, on the one hand, and a lack of public funding to follow up this expansion with regard to increases of staff and facilities, on the other. This is seen as a situation in which changes were made before the context to support the changes could be established, since the Standards and Norms for Higher Education were not defined in a timely manner. Certainly, issues such as the Quality Assurance (QA) were neglected for most of the research period and were not addressed in the legal documents and acts. Indeed, as the University Coordinator for QA commented, “QA means you already have a certain level of quality. We are facing a gap here. If we have stagnated at the pre-war number of students (approximately 5000) we would now face a problem that a majority of Universities have – meeting European standards regarding budget, space, and teachers. Meanwhile, we have grown 400% and have around 20,000 students, whereas the budget only increased by 18-19%. This is a huge imbalance between resources and requirements.” (#25 Higher Education Union President/QA Coordinator, theme: Weak Institutionalization, category: Lack of Law)

These examples illustrate how, by causing a gap between necessary and actual behavior, weak institutionalization processes affected outcomes at the individual and organizational levels. In addition, weak institutional context is characterized by a lack of resources and lack precise instructions on how to cope with existing challenges.

Organizational Properties

Experiences of the Bologna Team members provide good examples of challenges encountered in the implementation of the reforms. Challenges included the speed and concentration of change-related initiatives, impractical deadlines, and unrealistic dependence on individual engagement and motivation. The Bologna Team’s members commented upon the three specific implementation challenges in the following way:

- Our implementation is slow. We find one solution, a system starts to function, and new issues emerge. However, the University management does not return to the issues that they consider being more or less resolved, due to emergence of new issues that require attention. (#8 Bologna Team Member, theme: Organizational Properties, category: Implementation challenges)

- Whenever we modify our curricula, we are constrained by deadlines. As a result, we are forced to modify curricula very quickly, as we will not be those who will work on a basis of these changes. ... The whole process of harmonization curricula is slow, since individual teachers are given the responsibility to make adjustments, and these are verified by the faculties' Scientific-Teaching Councils. We had also committees at every department. My opinion is that nobody took this job seriously, due to the short deadlines. (#10 Bologna Team Member, theme: Organizational Properties, category: Implementation challenges)

The above selected samples of experiences to a large extent summarize the implementation challenges faced across the University. Even though initiatives were gaining the momentum at Senate meetings, the faculties' staff faced dilemmas in how to deal and implement the required changes. Thus, although there was an accumulation of issues still waiting to be solved, new issues continued to emerge.

In addition, a lack of mandate to implement the Senate's decisions and the need for verification from the government whenever restructuring needed to take place, illustrates constraints on the organization's capacity for action. This is best explained by a recent example of the newly established Center for QA: "The new Center for QA still does not have any employees. The University still has not regulated it with its acts. The Center is partly funded by the Tempus' project and I behave as a project's employee since it is formally like that. We can not employ anyone else unless the Government approves it, and that again means a closed circle. Namely, we can not employ anyone without the organizational scheme, and that brings us back to the beginning." (#25 Higher Education Union President/QA Coordinator, theme: Organizational Properties, category: Lack of Mandate)

Indication of a time lag in bringing about changes is demonstrated by the evident lack of sufficient planning procedure: "The University has its hands tied, and is not autonomous in deciding about the new study programs. The Government decides about the establishment of the new programs. We have to negotiate with them about this issue. We can estimate our needs, and we can make proposals and initiatives for the new program, but the Government needs to approve it. Every year, we make estimations on the basis of our personnel and space capabilities, as well as about interest for certain programs shown through number of applications to date". (#3 Dean, theme: Organizational Properties, category: Lack of Planning)

This example also illustrates how the University's efforts to introduce new study programs, on the one hand, and lack of planning from the Canton's

Ministry of Education, Science, Culture and Sport, on the other, resulted in a disharmonized activities.

Competing Understandings

A clash between perceived roles and responsibilities, and resistance to change, highlights differences in the understanding of what was happening in the organization. The various and competing interpretations resulting from this situation, in turn, created tension within the organization. For instance, the academic staff felt that the University, as a social institution, has a social responsibility for the education of young people, as is well elaborated in the following comments:

It seems that University is responsible for many issues: a number of study programs, a number of students, developmental issues, introducing the ECTS, etc. It seems that we have been allocated a responsibility from society to educate students, to support them, and at the end there is a question whether our degrees are valid for future employment. I think that this is a heavy burden for the University. ... Our part of the job is to educate them and give them degrees that are accepted within and outside of BiH. (#1 Rector, theme: Competing understandings, category: Responsibility)

Related to a general issue of social responsibility at the institutional level, the data revealed how individuals perceived their own roles in the new system. For instance, the Rector perceived his role as extremely important in the integrated, organizational, University form:

Maybe we should compare the University of Tuzla with other BiH's Universities that are associations of faculties. At other Universities, a Rector has a ceremonial role. The Rector of the University of Tuzla is a real Rector, a University president, a University director. He governs processes and resources. Of course, it also implies higher responsibility and accountability. Not everyone can be a Rector. The Rector has to be a manager. (#12 Rector, theme: Competing understandings, category: Role perception)

The General Secretary also described how she perceived her role as showing initiative in dealing with new issues: "In initiating procedures (e.g. a new study program or a new faculty) from the University towards the Canton, my work, as a General Secretary, was always to push for the law amendments. I did not wait for the Ministry of Education, Science, Culture and Sport to do it." (#27 General Secretary, theme: Competing understandings, category: Role perception).

However, resistance to the reforms was also indicated in the data, and various explanations were given by the interviewees to explain such behavior.

- People are afraid due to their ignorance. People are afraid of change. There is one group of people, and they are afraid since they have to learn, they have to change. For instance, if you require one professor to change his curricula, it means that s/he has to be ready to learn new things. And some professors do not want to learn. (#12 Rector, theme: Competing understandings, category: Resistance)
- “It is normal to expect that people will follow the ‘line of least resistance’. Our environment is not developed like the rest of Europe. Probably our employees are not rewarded in accordance with what is required from them.” (#26 Rector, theme: Competing understandings, category: Resistance)

Reflecting upon the situation that followed immediately after the 1999 Higher Education Law, the then Rector recalls the budget issue as being a reason for resistance to reorganization: “We had a problem of centralizing the budget at University level. It was expected that there would be resistance when someone’s budget was terminated and when you do not let them spend their budget in accordance with their own ideas.” (#29 Ex-Rector, theme: Competing understandings, category: Resistance) These examples mainly suggest resistance at both the individual and organizational levels.

8.4 Coordinating Organizational Action: Intentions and Mechanisms

In order to respond to external pressures, the University’s management has used several tactics and coordination mechanisms. The two subsequent sections address the results of data analysis on these two issues.

Coordination of Action

Several steps were frequently emphasized in mobilizing resources for the reform. These steps involved: sharing information, lifting a level of understanding and knowledge about reform. Table 8.5 summarizes the interpretive framework for the coordination of action.

Table 8.5: Data structure for theme: Coordination of action, University of Tuzla

| 1 st Order Categories | 2 nd order theme |
|----------------------------------|-----------------------------|
| Education about reform | Coordination of action |
| Benchmark | |
| Providing conditions | |

A main focus of change efforts, according to the interviewees, was receiving information about goals and intended change. The Rector expected that the process of ‘educating people’ and ‘creating the right atmosphere’ about University reorganization would be time consuming. Other interviewees explained that such an atmosphere increases an understanding for action, since there was no alternative to the integrated University model. The Rector pointed out the need for working continuously with the environment:

We have to work continuously with our environment, with the University’s employees, explaining them what is our aim and plan. Without such an approach, we cannot make a progress. ...In the near future, we plan to organize workshops, lectures, round tables to explain to our academic community and students what we want and what we are aiming for. I cannot say that we are the European University that is using modern methods – others have to say that. We cannot claim from our perspective that we are the European University, because such a claim has to come from the European perspective on us. (#1 Rector, theme: Coordination, category: Education about Reform)

Some faculties are used as role-models for others to accelerate implementation of suggested change initiatives. For instance, some interviewees emphasized that the Faculty of Electrical Engineering was used as a role-model for other faculties when it came to the use of IT Solution in areas such as, exam registrations, student enrollments, and announcing lecture schedules.

When it came to the issue of providing the conditions for reform, the opinion prevailed among interviewees that the integrated University provided necessary and sufficient reasons for the Bologna reforms. They emphasized that there was no alternative to the integrated University reform. This indicates that the climate within the University was supportive of change, and that efforts had been made to provide conditions for such a climate.

Mechanisms of Coordination

Three mechanisms emerged as second order themes: Image Building, Improvisation and Consolidation. Table 8.6 contains the interpretive framework for the mechanisms of the coordination.

Table 8.6: Data structure for dimension: Mechanisms of coordination, University of Tuzla

| 1 st Order Categories | 2 nd Order Themes | Aggregate Dimensions |
|----------------------------------|------------------------------|----------------------------|
| Internal statements | Image building | Mechanisms of Coordination |
| External perception | | |
| Market-orientation | Improvisation | |
| Gradual changes | | |
| Maneuvering | Consolidation | |
| Compatibility | | |
| Planning | | |
| Increased dependence | | |

Image Building

An impression that the management had ‘constructed’ the University’s image was emphasized by interviewees. As the Higher Education Union President commented “we have heard from this University several statements saying that we are leaders of change in South East Europe, that we have implemented the most changes, that we have introduced the Bologna principles, and so on.... We have observed the creation of an image that this University is an ideal organization...” (#25 Higher Education Union President/QA Coordinator, theme: Image Building, category: Internal statements)

Therefore, recognizing the importance of promoting the University’s new image, the University management referred to it frequently. For example, terms such as flexible, modern and adoptable were used by the Rector in describing an overall aim of the University reforms. A main purpose for such statements was to respond to the demand for higher education. He continued that “Fortunately for us, others estimate that the University of Tuzla is on the right track to get involved in the European processes. Transformation of the European Universities is on the agenda today.” (#1 Rector, theme: Image Building, category: External perceptions).

Experiences of the staff with reorganization differ. Two types of reactions were recognized with regard to the image of the modern and integrated University. First, nobody questioned the main goal of the integration process, since it was understood and explained as necessary for the implementation of the Bologna process. However, some questioned whether integration aims had been misunderstood and used for the centralization of power by very few organizational members. Second, a feeling of belonging to the University was commented by some Bologna Team members as being ‘stronger’. Job contracts, teaching norms and salary coefficients are defined uniformly across the University’s organizational units. This was not the case in the previous, loosely coupled structure, when every faculty had its own teaching and salary norms, for example. Hence, according to some

interviewees, there is no longer any division among assistants located at different faculties, since they have same basic salaries, are appointed to the same committees, and so on.

Improvisation

Profit, market, flexibility are some of the words frequently used by the management when talking about the University and its future. One of the first steps for mobilizing more resources was to establish the Study for Personal Needs (SPN). Every year the management negotiates with the government over the student quota that can be enrolled and covered by the Government. In cases where the faculties are able to offer higher enrollment to the study programs than planned in the student quotas, the management asks the government for the possibility to charge tuition fees for SPN's students. According to the Rector, "tuition fees collected from SPN students are only a fraction of the total study costs, but this was sufficient for us to cover a lack of resources that the Government was not able to pay for". (#12 Rector, theme: Improvisation, category: Market Orientation)

As already mentioned, since its establishment, the University had been predominantly a technical University with five-year study programs. Curricula Reform aimed at modifying study duration from five to four years, since it was less radical transition of the existing study programs and plans.

This used to be a predominantly technical University. Study programs originally lasted for five years. We deemed that transition into three-year programs would be a difficult decision, since many still did not understand the Bologna process in 2000. We have tried to find a middle solution. In addition, we lacked experience. Even today, many BiH Universities have a dilemma. We have decided to adopt a model 4+1. (#26 Rector, theme: Improvisation, category: Gradual changes)

The Rector further described how they initiated changes: "We had the following approach: let us resolve what can be resolved, and when progress is achieved with the solvable issues, then you return to the issues that were not solved in the first place. By so doing, I have to admit that I have been 'cheating' a little bit and also a bit provocative, so at the end people are convinced that it is solvable." (#26 Rector, theme: Improvisation, Category: Gradual changes) These examples illustrate some of the tactics employed in introducing change in a step-wise manner, so that the required change in format is achieved (e.g. two-tier study cycles).

Consolidation

At the University level, two examples of consolidation of efforts are noticed. The first is related to the appointments of teachers not to subjects but to the

disciplines and scientific fields. Related to this issue is the issue of Equivalency of the existing Academic Appointments. Namely, in the previous system the appointments were made either for subjects or disciplines. The Curricula Reform, however, introduced new subjects, thereby introducing the need for increased numbers of teachers. The General Secretary's views on the situation were:

- Since we established some new study programs and faculties, we have a lack of personnel. Every year in February, we are legally responsible to announce vacancies for the courses where academic appointments are missing. Since eligible candidates are rarely available, we can only fulfill maybe around 10% of our needs. Thus we have to figure out some other mechanisms. One is to provide visiting professors. Another, which was suggested by the Senate and already mentioned in our Statute, is to define our own academic appointments for fields, not courses, so that one teacher can cover more courses. (#27 General Secretary, theme: Consolidation, category: Maneuvering)
- What happens now in practice? It happens that we now have people previously appointed to subjects and new ones appointed to disciplines. A question has emerged with regard to how to bridge this discrepancy and how to 'transfer' these people?... Then we use Equivalency of Academic Appointments that recognizes and determines a main discipline of every teacher. Before, some teachers have been appointed to subjects that were offered over two semesters. Today these subjects are split into several one-semester subjects. Then one teacher can cover two or three subjects instead of one... This means that a discipline recognized some of the previous appointments and translated them into the redesigned disciplines after the curricula reform... The Rector and Office for Teaching and Student Affairs initiated the Equivalency of Appointments, since they are responsible for it. The Rector is a responsible body and the Office for Teaching and Student Affairs is a service responsible for these issues. Initially, they created this idea of how to bridge some obstacles and make compatible system. (#27 General Secretary, theme: Consolidation, category: Compatibility)

Another example is related to the planning process. One of the lessons learned, according to the Rector, was how to plan the budget and how to allocate resources. He provided an example of the University financial affairs. The University has a global financial plan that involves financial plans of all organizational units. Today, it is possible to trace the spending of every faculty and the University in total. In 2005, for instance, expenditure

was in accordance with the planned budget. According to the Rector, this is proof that the University has ‘learned to plan’.

Finally, consolidation by the increased dependence is found in two areas: operations, and services. Integration of the University strengthened the Senate’s role. This is best explained by looking at the new relationship between the Senate and Scientific-Teaching Councils. The Senate’s competence in dealing with academic expertise is upgraded. In the previous loosely connected organizational form, the Senate used to provide recommendations on appointments; today, it appoints teachers. In addition, it used to provide recommendations on the Teaching Coverage Plans, postgraduate curricula and doctoral dissertation proposals and final defenses; today, it makes final decisions on these issues. The Scientific-Teaching Councils are making proposals for the Senate’s decisions, and the Senate decides.

Another form of increased dependence is visible with regard to the organization of teaching. By introducing the ECTS, students are given the possibility to have electives at other faculties. Provision of these various profiles through study programs required harmonization. That was achieved through the activities of the Central Committee, which according to the Rector, addressed the issue of what is common among ‘different’ faculties.

8.5 Summary

This chapter aimed at presenting and analyzing data on the organizational change process at the University of Tuzla. The interpretive framework from Chapter 4 has been utilized during the data analysis. The narrative of change is presented in a form of short stories related to various change initiatives. These short stories are presented chronologically. Analysis involved indications of symbolic, substantive and institutional change outcomes. In addition, organizational members’ perceptions of pressures for change were analyzed as conditions of change, whereas experiences in managing the change actions were analyzed as coordination of action. The process of organizational change at the University of Tuzla will be revisited in the subsequent chapter, which will summarize the main findings regarding this process.

9. Summary of Findings and Cross-site Analysis

This chapter will first summarize findings from the previous two chapters for each of the two organizations. These summaries will be presented in a form of revisited stories of the two organizations during the period of organizational change. In so doing, the revisited stories will be structured as the three phases of the organizational change process, i.e. Departure Point, Opportunity, and Effort, for each of the two organizations. Then, similarities and differences in the change process between the two organizations are addressed with regard to: outcomes seen as the pattern of change, conditions under which the change process unfolds, and the contribution of individual and organizational action in this process. Finally, the organizational change process during institutional upheaval is outlined.

9.1 Organizational Change at the University of Sarajevo: Revisited story

The process of organizational change at University of Sarajevo may be presented in three phases. Table 9.1 summarizes the key findings of the change process in the University of Sarajevo, its phases and characteristics. The data refer to the University's central strategic level, and do not illustrate processes at faculties' levels or their Scientific-Teaching Councils.

Table 9.1 Change Process at the University of Sarajevo: Phases and Characteristics

| Phases | Initiatives | Conditions | Actions | Outcomes |
|---|--|---|--|---|
| Departure Point | Sporadic, mainly depended on externally funded projects | Sources of ambiguity in the inherited, 'dysfunctional' system | University management performing a ceremonial role; expressing dissatisfaction | Establishment of UTIC ⁸⁰ , Preparation of Institutional Development Plan |
| <i>Tendency for keeping the status quo, since there is no change momentum which would put the organization on the move.</i> | | | | |
| Opportunity | Putting reform on the Senate agenda, inquiry about new Statute | Emergence of different and competing understandings | Articulating dissatisfaction with the present organization and University's progress in academic reforms | Appointment of committees to prepare reorganization documents |

⁸⁰ University Tele-Informatics Center

Initializing commitment for reforms and emerging competitive commitment for the reform.

| | | | | |
|---------------|--|--|---|--|
| Effort | Round Table, Involvement of others in decisions, new study rules, Quality Assurance, Strategy for Science and Research | Elaborating on change initiatives, procedural complexities, lack of resources, institutional support | Building pressures, organizing workshops and seeking legitimacy | University Statute, the Office for Reforms, Home Department, ECTS Manual, Temporary Study Rules, Campus Project, Canton's Law Amendments for Standards and Norms |
|---------------|--|--|---|--|

Building a momentum for change: mobilizing for change, arbiter role, dissatisfaction among members, temporary and long term solutions, networking and consolidation

The three phases of the change process and their respective local sub-processes are addressed in more detail in the three subsequent sections.

9.1.1 A Departure Point: Before June 2004

Before June 2004, there was a compatibility of values and interests with the prevailing archetype of the Fragmented University form. The pattern of commitment to the model of Fragmented University organization at faculty level was for the maintenance of the status quo. There were two main reasons for this: a) satisfaction with the distribution of resources, which was directed to the faculties, and b) decentralization of the power into the professionally based departments. At the start of the change process, this meant that there was 1) little centralization of administration; 2) no direct University control over budgeting; 3) no strategic planning, unless related to external projects with demands for institutional development plans; and 4) leadership was devolved across many positions at the faculty level. This meant that the organization was subject to inertia and simply maintaining the status quo.



Figure 9.1 Departure Point: University of Sarajevo

Even though a new Institutional Development Plan was prepared and distributed, as a part of a World Bank funded project in 2003, there had been indifference to the prevailing and ‘newly’ prescribed values in this reorganization document. One result of this indifference, however, was that neither organization had a strong resistance to change, nor did they have any strong commitment to the alternative organizational form. Figure 9.1 presents the overview of the first phase in the organizational change.

During this period, the ambiguity experienced by members of the organization was seen as a major obstacle for any kind of action to change the situation. There were no initiatives at the University level to change or alter the existing system and situation. In summary, the University can be regarded as an organization subject to inertia, not because of the lack of committed support from the powerful figures, but because of events and personnel in the organization’s history.

9.1.2 An Opportunity: June - December 2004

To understand the nature of the internal situation, a distinction has to be made between pressure for change and resistance to change. Internally the situation was not clearly defined. At the time the Rector was changed, the power structure remained fragmented into various faculties and departments. Consequently, there was conflict over ideas how to organize. From the central administration level, initial commitments were made towards the reforms, both academic and organizational (reorganization initiatives). Senate meetings were used as a forum for presenting various options for the new reorganized University form. Interviewees emphasized that there the need for reforms was recognized, in spite of a conflict in both opinion and interest as to what needed to be changed.

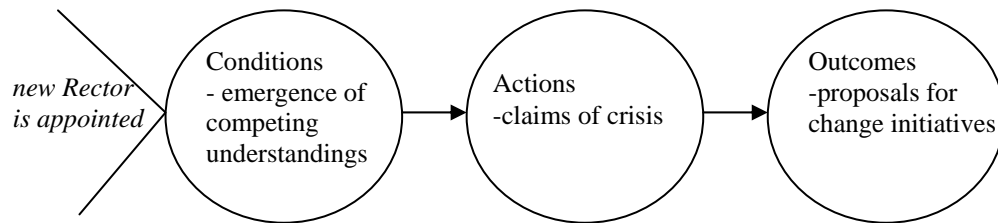


Figure 9.2 Opportunity: University of Sarajevo

Organization was perceived as ineffective at the central administration level. On the other hand, some of faculties were considered as highly effective since they succeeded to generate private income and were satisfied with their status. This created a situation where competing understandings started to emerge, although there still was a lack of articulated commitment and visible focus for organizational change (see Figure 9.2).

9.1.3 An Effort: January 2005 – December 2006

This phase is characterized by several parallel sub-processes that resulted in more concrete directions for change. These sub-processes involved a shift in the commitment to change, concrete steps in strengthening the central level administration, and building momentum for change.

From competitive to reformative commitment

Competing understandings resulted in a situation whereby some reformative actions were appreciated by organizational members. Deans and professors expressed their support for changes relevant to changes in the external context. Their indifference for change gradually became a positive commitment to changing the organization towards a more rationalized, integrated organizational form. In this period, the University of Sarajevo produced several organizational documents involving information on what its structure would be at the point of reorganization. These reports are tangible evidence of the commitment of some organizational members to the future reorganization. Other organizational members agreed with the suggested changes, but only as long as the well established budget allocation procedure remained. Hence there was also a strong commitment towards the organizational status quo with regard to the faculties keeping their budgets separated and directly allocated to them. This suggests there was a competitive value system in the organization, which is possible, since some Deans held a considerable amount of power and had direct access to the Canton's authorities.

Integrating administrative functions

Even though the organizational capability was assessed as low with regard to their managing the reorganization set out in the organizational documents, some administrative integrative functions were introduced. For instance, the establishment of a three-member University's Office for Reforms was a deliberate effort by the University management to build up the organization's capability in directing the 'Bologna' reforms. This Office was particularly required to prepare organizational reforms at the ground level, and to develop a network of people at faculty level who could be a focal point for the reform. It had a support from the Rector and was under jurisdiction of the General Secretary.

A more market- and performance-oriented approach was evident as the research period developed. This resulted from the reduced student quotas from the Canton's Government. At the Senate meetings, the organizational members expressed their will for introduction of parallel studies (i.e. study programs for students that are not part of the governmental quota).

Building Momentum for Change

The University management was not satisfied with the existing situation, whereby their role was more ceremonial than functional. They believed that a more integrated University structure would be an improvement. During this two year period, the University management operated internally in building a commitment to the new model, and tried to ensure that members understood the need for change. In order to do this, the management engaged in several activities. For example, the new mission and vision for the future was detailed in various organizational documents (e.g. University Statute and the Organization of the Integrated University). The symbolic value of these documents was significant, since they also set out what the model of the future organization would be in terms of teaching, learning and research. This 'symbolic management' was demonstrated through specific initiatives, such as instigating a Joint Graduation Day and new University symbols (e.g. Rector's chain, gowns, etc.). The Rector started paying visits to faculties, to carry the message to the heart of the existing organizational power. In addition, gatherings, such as the Round Table about the ECTS held in April 2005, were organized in order to communicate the need for change to organizational members. The movement stemmed from the feeling that 'something had to be done', and to provide legitimacy for numerous initiatives that had occurred in a short period of time. Due to the dispersed power structure, the transformational leadership was not cohesive and initiatives that occurred were not fully coordinated. The Senate's members were 'convinced' to agree with the future reorganization model of the integrated University. Instructions were given on what needed to be changed. Examples of good practice are frequently presented to the Senate,

in order to emphasize a need for change (e.g. faculties that already implemented ECTS). This development was possible under ambiguous conditions brought about by the competing understandings.

Several activities aimed at breaking the ill-structured reform goal down into more manageable goals. The initiative defining Temporary Study Rules helped the momentum for change. In organizations where logic of appropriateness prevailed traditionally, as with the University of Sarajevo, such a document was of a major significance to break a vicious circle of reform inertia, and to introduce an overarching platform for change.

In addition, the emerging arbiter's role of the University in the issues of Home Department and curricula modifications strengthened the University's legitimacy in leading the reform affairs. Indeed, Home Department structures aimed at providing a nucleus for organizational reform of teaching and research, and were directed at structuring both academic and organizational units. As a result, a mixture of two structures and systems emerged. One drawback was that at any time these double structures could cause interlocking over certain issues.

Several committees were formed in order to prepare organizational documents about various sub-reforms. Some lateral teams were established in order to encourage an awareness of links between the faculties. In addition, some projects (e.g. IT Solution) are being implemented, and the new Campus project commenced. Some operational areas were integrated, such as information about cooperation agreements, graduate promotions, Campus building, and publishing.

Some obstacles: Lack of expertise

One important drawback was a lack of expertise with reform. The University lacked managerial experience, expertise and self-confidence to deal with the reforms. At the same time, the University became a target for a number of agencies, whose consultants and expert teams made recommendations about the need to introduce a certain level of integration. Thus expertise was built up by a number of organizational members that attended various international externally funded programs (e.g. Tempus, COE, EU). However, organizational members that were involved in these programs had also other roles to perform.

Summary

During this period, ambiguity caused by different and competing understandings represented an opportunity to act (see Figure 9.3).

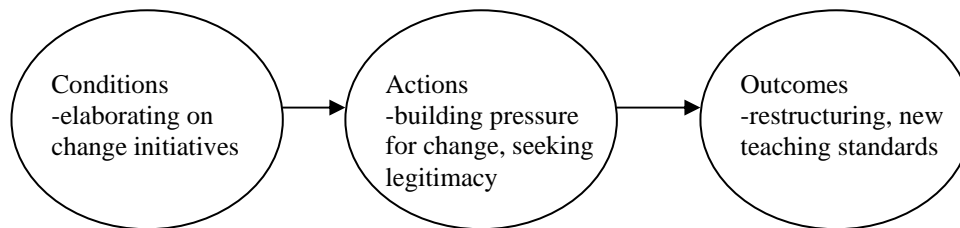


Figure 9.3 Effort: University of Sarajevo

Indeed, the lack of fit between the existing organizational model and the changing context influenced by the EHEA, encouraged reform. Thus the contextual conditions called for reforms. Internal pressures for change started to gain momentum and were reinforced by the widespread dissatisfaction of some organizational members. As a result, there were those who would support change, even though they had little influence over the change. The competitive commitment for change was taking more on the reformative character. Such shift in character of commitment for change was achieved by some staff's engagement in building commitment for change. The reformative character accumulated into the pressures that caused the movement. The Senate meetings were utilized for the promotion of commitment to reform and helped to foster positive conditions for change. In addition, the Rector, his close associates, and some of the Deans, were highly committed to the new organizational approach, for instance, by organizing workshops for organizational members to explain the complexity of and the need for the reforms.

9.2 Organizational Change at the University of Tuzla: Revisited story

The process of organizational change in University of Tuzla is divided into the three phases, and each phase is characterized by several local sub-processes. The key findings are summarized in Table 9.2.

Table 9.2 Change Process at the University of Tuzla: Phases and Characteristics

| Phases | Initiatives | Conditions | Actions | Outcomes |
|--|--|---|--|--|
| Departure Point | University management asks Canton's government for the new law. | Sources of ambiguity in the inherited, 'dysfunctional' system | Expressing dissatisfaction, supporting need for a new higher education law. | Preparations for a new law. |
| <i>Urging for a new Law allowing an integrated University form.</i> | | | | |
| Opportunity | Restructuring internally | University management interpretations of the integrated University form, legitimacy stemming from the new law | Internal reorganization, establishing the integrative services, new internal rules and routines | Institutional Development Plan, University Statute |
| <i>Formalizing the merger and changing the power balance within the organization.</i> | | | | |
| Effort | Involvement of others in decisions, focus on gaining more income, expansion of study programs, strategy for science and research | Elaborating on interpretations of what kind of University is in place | Building image of the reform's pioneer , human resource policy, questioning and restructuring interpretive schemes | Central Committee, Bologna Team, Home Department, Curricula reform, Canton's Standards and Norms |
| <i>Building a momentum for change: expansion of programs, increase in a number of organizational units, human resource policy, enrollment policy, profit-oriented, strategizing, tension between aspirations, and dissatisfaction among members about centralization tendency.</i> | | | | |

The following three subsections will outline more details about the different sub-processes in the three phases.

9.2.1 A Departure Point: Pre-1999

Prior to 1999, the University of Tuzla faced a highly complex external environment. This was the consequence of broader socio-economic and political problems, since the state administration was deeply divided between the three ethnic groups in the aftermath of the armed conflict. There were uncertainties as to whether the arrangements at state level would also be mirrored in its institutions, for instance in higher education, which would

lead to existence of only three ‘ethnic’ Universities (i.e. Sarajevo, Mostar and Banja Luka). Consequently, many of the University’s problems were not expected to be solved by traditional ‘solutions’. These high levels of social complexity and uncertainty put pressures on the Canton’s government and Ministry of Education, Science, Culture and Sport to alter the existing Higher Education Law (see Figure 9.4).

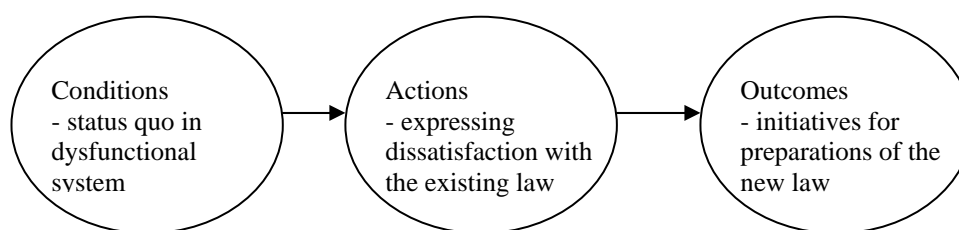


Figure 9.4 Departure Point: University of Tuzla

9.2.2 An Opportunity: 1999-2001

In order to protect the Universities existence and to prevent other undesirable results, the Canton’s Government introduced the new Canton’s Higher Education law, which supported the University both as an institution and as an organization. The introduction of the new Higher Education Law was also an opportunity to establish the integrated administrative University model, whereby the newly appointed Rector became the Rector of the first integrated University in the West Balkan region⁸¹. Together with his closest associates, he set out to formalize introduction of the new integrated model, and establish the first integrative functions of the University. First, the new organizational structure at the Rectorate Office and the new internal routines and rules were established. This led to changes in personnel in 2001, since the administration of both the University as a whole and the individual faculties had been restructured. The central administration was strengthened by opening new positions and changing contracts of the administrative staff so that they were now employed by the University and not by their faculties. As a result, administration at faculty level was reduced in support of the new University apparatus. By introducing a more vertical structure for authority and decision making, the span of control of the Rector and Deans has changed.

⁸¹ West Balkan region corresponds to the countries that emerged after dissolution of Yugoslavia, excluding Slovenia.

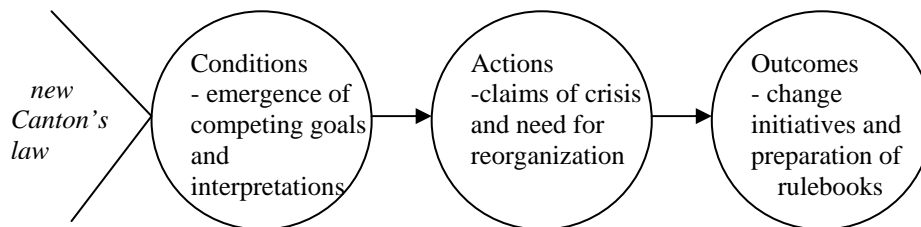


Figure 9.5 Opportunity: University of Tuzla

Environments produce pressures but do not produce structures and systems. The University of Tuzla introduced the integrated University model based on claims that a model already existed in other, typically American and European, Universities. This process of formally merging the original dispersed faculty-based model to produce the integrated unified University model provided an opportunity for the newly established University management to make *their own interpretations* of the organizational and the academic reforms. By so doing, claims of crisis are used to emphasize 'what needed to be done'. Such information was then shared at the Senate meetings, whose opinion and behavior was legitimated by the new Canton's Higher Education Law. The pattern of commitment, however, was more that of competition, since not all organizational members were satisfied with the newly established power balance, leading to a climate of conflicting goals. As a result, faculties were allowed to have separate sub-accounts for their science and research funds. In addition, there were both periods of agreement and disagreement between the University management and the Canton's government, which in turn contributed to shifts between support and opposition of the central level administration staff's efforts to assume a managerial role. Nevertheless, 'adjustments' and reorganization initiatives were undertaken within the integrated University model and interpreted by the strengthened University management team (see Figure 9.5).

9.2.3 An Effort: 2002-2006

During this period, a number of sub-processes took place in the organization of the University. Some of these local sub-processes were characterized by changing existing interpretive schemes, whereas others aimed at formalizing the merger and roles in order to encourage momentum for the integrated University form.

Questioning and Restructuring Interpretive Schemes

A number of key events emerged to enable changes in the interpretive schemes from a competitive to a reformative pattern. Questioning interpretive schemes occurred during preparation of the Teaching Coverage

Plans. Consequently, measures were defined with regard to how teaching duties would be performed. These measures questioned and redefined some of the existing values related to teaching. In addition, changes in the interpretive schemes are noted by proposing new Standards and Norms in teaching. Other changes in interpretive schemes took place with regard to the participatory character of change. For instance, the Senate frequently required input from the faculties' Scientific-Teaching Councils in order to discuss and decide upon organization of teaching and research. On several occasions, the accountability of some organizational members and units was also questioned, in cases when they did not meet criteria that could have University-wide consequences. For example, Deans were considered as accountable for defining and agreeing upon the Home Department allocations.

Formalizing the merger and roles

Levels of integration increased in both prescribed and emergent organizational forms. For instance, the Vice Rector for Teaching and Student Affairs was allocated an active role in promoting the integrative University function by being in charge of the Teaching Coverage Plans, Analyses of students achievements, and Curricula Reform. Allocation of budgets became a part of central planning, which was done on the basis of predetermined budget plans submitted to the Canton's Ministry for Finance. The Vice Rector for Development and Finance was responsible for this integrative function. In addition, even though the Senate remained the highest academic body, a number of committees with a standing mandate had been established, such as the Central Committee or the Committee for Ethics. For example, the Central Committee, chaired by the Rector, was established in order to promote expansion of study programs and the establishment of new organizational units. As a result, faculties, academies and their staff were instructed by central management how to implement reforms, and were given short deadlines to implement planned changes. Further, the Rector, Vice Rectors and Rectorate's administration all checked to see that the deadlines set were actually met.

Senate meetings were used as an arena to remind Deans of the necessity to implement the Senate's decisions and conclusions. When needed, the Rector's Collegium held meetings to instruct the Senate, for example, by giving precise instructions about how to make proposals for postgraduate studies (in March 2004), or proposals for maximum teaching load (in October 2006). Even though the Bologna Team was formed to follow-up Bologna reform issues, the Office for Teaching and Student Affairs was more engaged in these issues and had a more specific role with regard to their implementation.

Building a momentum

a) Expanding the Organization

During this period, the University became engaged in a radical restructuring process. This is illustrated by some faculties being split into different organizational units (e.g. Faculty of Philosophy), as well as new study programs being organized. However, this kind of restructuring needed approval from the Canton's Government. In absence of the well-defined Standards and Norms for Higher Education, it could be argued that the University management used this situation to expand the organization. In addition, the University was asked by the Canton's authorities to make a proposal for Standards and Norms in Higher Education. There have been different opinions and recommendation as to what study models to apply (e.g. 3+2 or 4+1).

b) Image Building and HR Policy

There is a little doubt that during this period the University management 'owned' the reforms and was responsible for the initiation of change-related initiatives in a top-down manner. One such task was to communicate what had already been achieved in order to build up the image of the integrated University being a 'regional leader of change'. This was done primarily through addresses given at other BiH's Universities, in local speeches, and through the media. Another example is related to HR policies. As already mentioned, the University suffered from a considerable 'brain drain' in the beginning of the 1990s, as a result of political changes and tension in the region. In addition, there was an expansion in the number of students in later years that required an increase in teaching staff. At the same time, there was a turnover of senior staff due to retirement. In order to cope with these challenges, there was a tendency to employ the graduate students that showed the high level of achievement. Establishment of the postgraduate studies at almost every study program provided also an opportunity for these new staff members for further education for their academic careers.

c) Expanding domain activities, and balancing aspirations

One of the factors that produced a situation of turmoil in this period was an increase in the number of students. In response to the increased student demand, the University realized it needed to increase the number of programs and courses on offer. The University management therefore took steps to create a more diverse study portfolio. That could be also a reason why most of strategic initiatives discussed at the Senate were directed towards establishing new study programs.

Such an approach also contributed to a better financial situation for the University. Tuition fees were introduced as a part of the Study for Personal Needs (SPN) for those students that were not included in the Government's

quota. Increases in SPN income was, therefore, also an indication that the level of market orientation was increasing. The organization tried to accommodate the high number of students, since they represented extra income and were contributing to a positive cost-benefit analysis. Indeed, in a situation characterized by a lack of resources, all extra income was welcome. As a result of such pressures, the organization showed signs of being locked between its aspirations to be a reform pioneer (i.e., quality-oriented) and to gain extra income (i.e., to be profit-oriented).

d) Increasing Organizational Capacity for Action

Issues discussed at the Senate increased in number and in the variety of topics. This suggests that the organization was developing its capacity for coping with the complex situation, which in turn helped it to continue with formalizing the merger. One consequence was a change in power balance and more centralized power structure. Even when the dissatisfaction with suggested amendments to University Rules in September 2005 was expressed by the University Higher Education Union members leading to turbulent internal situation at the beginning of 2006, this dissatisfaction was not directed towards the integrated University form. From this it is plausible to assume that the reformative commitment had been prevailing during this period.

Some obstacles

Data indicate that one important drawback with reform implementation was a lack of managerial expertise with reform processes. As in case of the University of Sarajevo, expertise is gained by a number of organizational members visiting some of the externally funding projects on Management in Higher Education. However, there is no formal training or requirement for any of members of the management teams.

Summary

During this period, ambiguity caused by competing understandings represented an opportunity for the University management to promote its own interpretations of the integrated University form (see Figure 9.6). Indeed, this period was mainly characterized by building an 'appropriate image' of the University as the integrated University and as the 'pioneer of the reforms'. Momentum for change was remarkable at this time and the University's organization was set up very rapidly. Nevertheless, this period was also troublesome, since a number of re-interpretations took place, due to insecurity about which study model would prevail at the other BiH Universities. Therefore, a number of adjustments were made to the study portfolios, as well as a number of programs being assigned various duration periods (e.g. two-year, three-year and four-year undergraduate programs, one-year postgraduate programs).



Figure 9.6 Effort: University of Tuzla

Restructuring of the organization was also supported by attempts to change the interpretative schemes. This was plausible to the extent that new interpretative schemes were presenting substantive changes in reinforcing the outcomes of restructuring.

9.3 Similarities and Differences: Organizational Change in the two University Organizations

Both the University of Sarajevo and the University of Tuzla are scattered geographically and administratively, and to some extent divided in their purpose. The division of purpose holds true especially for the University of Sarajevo, since its faculties are formal organizations treated as legal bodies. The Rectorate of both Universities are located at faculties: in case of Tuzla it is the Faculty of Philosophy and in case of Sarajevo it is the Faculty of Law. The consequences of such geographical dispersion are far reaching, since it has tends to prevent the development of trust and communication within each organization. Therefore, a main mechanism to cope with this obstacle is the Senate, through which academic affairs, such as academic program reviews, tenured decisions, and students' enrollment projections, are channeled and centralized. Main differences are discussed on the basis of different organizational trends prevailing in the two institutions. As a result, the main differences are observed with regard to two issues: the pattern of change and coordination of action. In addition, the main similarities found are related to characteristics that both organizations inherited from the previous system, as well as to the environments of the two organizations. Thus similarities are found in the conditions prevailing during the process of organizational change.

9.3.1 Outcomes of Change

In general, the findings suggest that in responding to pressure for change, the two University organizations embarked upon different patterns and tracks of change. These differences are interpreted in light of the different

Opportunity phases available to the two organizations. In other words, their different organizational structures at the time academic reforms were necessary acted as interpretive schemes resulting in: a) different reasons for responding to the pressure for change, and b) different patterns of change in their organizational structures and systems. For example, Table 9.3 shows differences and similarities in issues discussed by the two Senates. This also reflects differences in the organizational trends, as well as similarities in pressures to which both organizations were exposed.

As suggested above, these different reasons for responding to pressure for change resulted in different patterns of change. At the University of Sarajevo, efforts were made to build the momentum for change, whereas at the University of Tuzla, the momentum for change followed as an outcome of initial reorganization. These two patterns were also different in nature, since they were associated with different drivers for change. At the University of Sarajevo, one of the main drivers has been to ‘catch up’ with the Bologna process, and to harmonize differences among various faculties. At the University of Tuzla, there had been tension between the created expectations (i.e. to be a pioneer of the reform) and needs for additional income in order to keep up the image of a progressive University (i.e. being profit-oriented). The bottom line is that both organizations were looking for an ideal model identified as a ‘European University’, existence of which is also questionable.

Table 9.3. Comparison between two Senates’ activities and outcomes

| <i>Senate</i> | <i>University of Sarajevo</i> | <i>University of Tuzla</i> |
|------------------------------------|--|---|
| Issues and Areas of Responsibility | Curricula, Home Department, ECTS: Senate | Curricula: Central Committee / Senate Home Department: Office for Teaching and Student Affairs / Senate ECTS: Office for Teaching and Student Affairs / Senate Teaching Coverage Plans: for Teaching and Student Affairs / Senate Accountability of Deans: Senate Establishment of two- and three- year studies: Senate Establishment of postgraduate studies: Senate |
| Outcomes of change | Symbolic, substantive, institutional | Symbolic, substantive, institutional |

What is also similar, however, is the overload of initiatives that had been triggered by the reforms. In both organizations, the Senate was identified as

a forum for initiating action. In other words, demands for the central administration to have a supervisory role were often given voice at the Senates' meetings. In addition, in order to be fit for action, a new organization of teaching in the form of the Home Department was suggested at both Universities. As already mentioned, the Home Department means that certain disciplines and sub-disciplines are hosted at respective faculties and these Home Departments in turn are responsible for providing teaching in those sub-disciplines at University level. However, the Home Department aimed at a temporary solution, a sort of transition phase towards complete integration. It was, however, a problematic issue, since data indicate that personal careers may have been at stake. Thus the Home Department was implemented in a step by step manner, by first resolving issues that were not disputable. In addition, in the University of Sarajevo, introduction of the Temporary Study Rules is considered as an important event for fostering the momentum of change.

Before turning to a discussion about similar and different trends in managing these two institutions in the periods of change, examination of the prevailing conditions that surrounded change process is offered.

9.3.2 Conditions of Perceived Ambiguity

Indices of the perceived ambiguity were partly similar in the two University organizations. There are three areas where the similarities and differences between the two University organizations were indicated and analyzed.

First, BiH higher education is to a large extent publicly funded. Thus, reduced public funding, a prevailing trend in most of the higher education systems world-wide, takes on an additional dimension in post-conflict countries engaged in a rebuilding process. As a result, a scarcity of resources is the general situation in BiH higher education institutions. Not only have the cantons' budgets been reduced, but Universities have no opportunity to acquire third-party funding, since the post-conflict economy is not stabile and there is no surplus of resources for some research projects. This lack of resources has been emphasized by all interviewees, regardless of their position in the organization. Whenever discussing why certain changes were not implemented, the interviewees pointed to a lack of resources and lack of engagement from the Cantons' Governments.

Second, the government is considered to be responsible for the reforms in line with the Bologna Declaration. However, the engagement of the Ministers of Education at both canton's and division's levels was perceived by the organizational members as purely symbolic. Those elected verbalized their support for the reforms, but in reality there was very little concrete

action. A lack of appropriate regulations was also emphasized. At the University of Sarajevo, interviewees expressed concerns about inherited laws and emphasized the importance of making changes either to the Canton or to the state's Umbrella Higher Education Law. At the University of Tuzla, concerns were related to the Umbrella Higher Education Law, which was expected to harmonize across the academic domain country-wide and to confirm efforts by the University made so far. This indicated that both organizations were seeking legitimacy in order to continue with their change-related efforts. One 'remote legitimate source' for their actions was seen to be the Bologna Declaration. Under above described circumstances, the legitimacy of the official Government's and Ministries' involvement came to be questioned by the organizational members.

Third, system dysfunction emerged as an issue during several interviews, and interviewees frequently reflected upon problems caused by a system in disorder at both intra- and inter-organizational levels. For instance, Governing Boards, regardless of their number (one in the University of Tuzla and twenty-three in the University of Sarajevo) are criticized for a lack of competence to govern higher education institutions, due primarily to the politically-driven process of appointing their members. Governing Boards are also referred to as 'incompetent' bodies that only restrict the work of academics, and there seems to be an underlying belief shared among interviewees that academics should govern higher education institutions. In other words, academics should organize themselves and secure their autonomy, so that when academics desire change, the change will happen. Such views can result in a mismatch between perceived responsibility and authority, and therefore in ambiguous situations, which some influential individuals take advantage of by claiming to act 'on behalf of academia' and propagating the idea that 'others' (e.g. the Canton) have no right to tell to academics what to do.

Perceived ambiguity in both organizations also provided grounds for organizational action and subsequent outcomes during the research period. However, the type of perceived ambiguity also tended to alter during the change process. This seems plausible, since, at certain periods, ambiguity was used strategically to impose some internally generated solutions in situations of weak institutional environment, while at the same time the pressure for change was intensified (or at least interpreted as such). It also helped to support efforts to generate momentum for change. It would appear that change is especially stimulated in academic communities when conditions are articulated in a way that there are various options, and that these options are necessary for further modernization of higher education. Formulated in such a way, an option becomes a suggestion for change. Such a suggestion for change is communicated at the Senate meetings, which

represents an arena for collective action. In such arena, a suggestion may be propelled by some strong and interested individuals who use force and try hard to gain the support base. How is this process managed?

9.3.3 Coordination of Action

It appears that efforts to change began with several assumptions: that the institutions needed to centralize their authority, to stabilize their financial and academic practices, and to revitalize their missions. The mandate Rectors of two Universities inherited, in different time periods, was dominated by controversies surrounding the relationship between the central University administration and the respective faculties. In an organization where decisions are made by a majority vote, 'solutions' and 'resolutions' are specific terms used to define the managerial tools available to the Senate to enforce its own decisions. Indeed, the fact is emphasized that the University management has no direct power to enforce the Senate's decisions. The ambiguity surrounding the delineation of a Rector's authority may result from the difficulty in distinguishing between governance and administration. The distinction seems to be one of magnitude in discretionary decision-making powers. Consequently, both Universities' management teams tried to coordinate the organizational and governance issues, depending on the existing constraints.

The University of Sarajevo initiated academic reform in order to trigger the subsequent reorganization. The attempt to introduce academic reform through the Senate resulted in a number of practical and organizational issues that the University had to deal with. This situation was used by the University's management, which claimed the ownership on reforms. However, differences among various faculties at the University of Sarajevo in implementing the academic reforms remained.

In the University of Tuzla, on the other hand, the University's management was legally responsible for organizational reform. The academic reform, which was in line with the Bologna process, followed a logical sequence of events. A number of functional units (e.g. Vice Rectors' Offices) were appointed to promote aims and objectives of the University's management. As a result, there was a coordinated approach aimed at synchronizing differences among the organizational units.

The main means by which the University management asserted a supervisory role were crisis claims and assertions about the need for new modes of operations. Claims of crisis (i.e. education about reform, benchmarking, and providing conditions) were frequently used in order to describe difficulties with reforms as well as justifications for the desired

behaviors and actions. Thus, new modes of operation were offered and described.

Four differences in the sphere of the influence enjoyed by the University's management are noted. Firstly, in the University of Sarajevo, the Senate had been an arena where University management exercised its influence. The part of aims and objectives was captured by organizational documents, such as the Organization of Integrated University. In that case, the University management marked its territory by claiming ownership of the reforms. Critics at Senate meetings provided a sort of social control device, since they enabled a comparison of the different faculties. This was supported by internal benchmarking (i.e. giving examples of the reform-oriented faculties and their efforts in reform implementation). These examples were in turn used as a base to 'convince' others about the necessity of implementing present reforms and the importance of future reform efforts. As a result, when talking about newly introduced laws and initiatives, interviewees used terminology like, 'force' and 'pressure'. Thus, the main differences between the two organizations are found in dichotomy of internal commitment-building (e.g. University of Sarajevo) and external focus on image-building (e.g. University of Tuzla). This is plausible, since the University of Tuzla consolidated its structure to a great extent by the new Canton's Higher Education Law in 1999. Activities were undertaken for communicating to the outside world a 'new' image of the integrated University that corresponded to the new structure. The Rector of the University of Tuzla was engaged in building the new University image, whereas the Rector of the University of Sarajevo was more engaged in building up commitment internally, so that organizational members understood what the change was about, a process that was not necessary in the University of Tuzla at the time of integration. However, the episode of the University of Tuzla Rector's stepping down in 2006, due to the irregular election procedure, suggests that not all organizational members were satisfied with interpretations of the integrated University⁸².

Secondly, unlike the University of Sarajevo, the University of Tuzla made efforts to plan its HR needs. For instance, the establishment of a number of postgraduate studies had two aims: to satisfy student demand, and to educate its own staff for academic promotions. In the long term, this was considered to be a good strategy for increasing organizational capacity. In addition, the University of Tuzla worked on physical facilities, by increasing space, and offering broader study program across University. At the University of

⁸² However, this episode took place at the end of the research period and was not a part of a broader change process addressed in this study.

Sarajevo, such actions were still managed by the faculties. Here the University's management continued with its efforts regarding Campus building.

Thirdly, organizational structures determined levels of interdependence in coordination. Lateral teams, such as various committees and task forces, contributed to increasing a level of interdependence among organizational units. Table 9.4 shows a comparison between the number and role of committees and tasks groups at the two University organizations. The University of Tuzla has more overt integrative functions. The University of Sarajevo, on the other hand, has more latent integrative structures, such as ad-hoc committees that were appointed temporarily to deal with reform issues. However, some attempts for more overt integrative structures at the University of Sarajevo are provided by establishing the Office for Reforms in 2005. This Office developed a network of faculties' staff regarding specific reform issues. Such an approach resembles bottom-up mobilization for the purpose of resolving poor communication at lower organizational levels. In other words, the University of Sarajevo was forced to make improvisations of different nature than the University of Tuzla, which in turn lead to the use of the influence tactics mentioned earlier.

Table 9.4. Comparison between number and role of committees and task groups at two organizations

| <i>Senate</i> | University of Sarajevo | University of Tuzla |
|---------------|---|--|
| Committees | 8 committees for statute, Committee for Publishing, Committee for IT Solution, etc. | Central Committee for Curricula Ethics Committee |
| Task-Groups | Bologna Team: three members located at the University administration | Bologna Team: 19 staff members reporting to the Vice Rector for Teaching and Student Affairs |

Finally, based on future plans reported by the interviewees, it would seem that differences among the two Universities may become even more remarkable in the future. These differences are seen as outcomes of the present organizational structures. For instance, the 'weakened' faculties in the case of the University of Tuzla may in some future reorganization be replaced by (Home) departments, forming part of an even flatter organizational model. In the case of the University of Sarajevo, the alternative to the integrated University discussed by the interviewees would be to divide up the University based on the six Groups that already exist and which function as pre-Senates bodies, thereby resulting in six Universities.

9.4 Summary: Phases of Organizational Change during Institutional Upheaval

The change process in both University organizations is characterized by the three phases: Departure Point, Opportunity, and Effort (see Figure 9.7⁸³). Departure Point refers to the organizational and system properties that either constrained or enabled organizational action, which was mainly sporadic and uncoordinated. It portrays an organization situated within a complex environment, as well as constrained by its organizational form and history. For an organization to embark upon change, an Opportunity has to be recognized and an Effort has to be made. Opportunity will differ from organization to organization, and is usually triggered by some external event, which, for instance, may be introduced through legislation (a new legal reorganization act), or triggered by a change in personnel (arrival of a new president). However, what is common for the Opportunity phase is that it allows different interpretations to take place, especially those that urge the need for change. As a result, change initiatives take place.

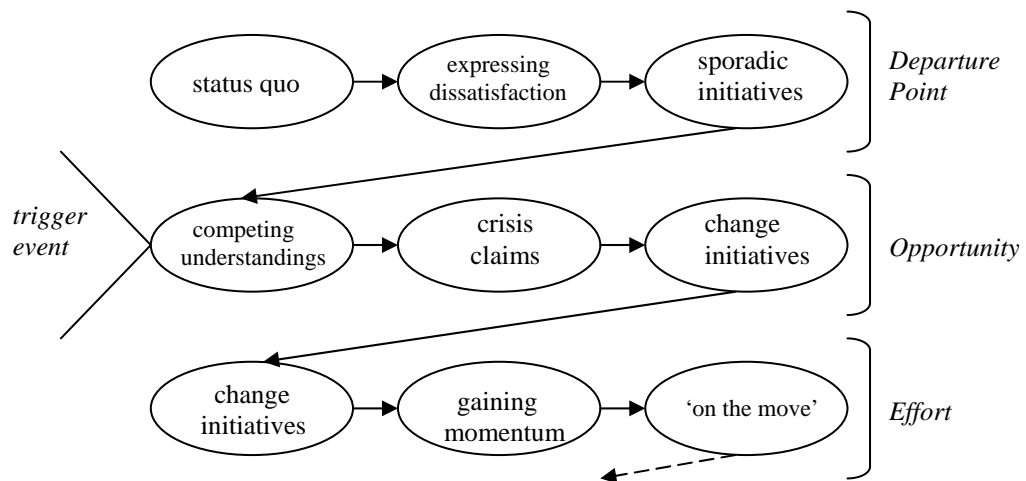


Figure 9.7 Phases of organizational change process

The Effort phase will mainly be directed towards concerting organizational action for change. Depending on the nature of the Opportunity, the coordination mechanisms in the Effort phase will differ. For instance, in the case of a trigger event, such as turnover of personnel, the action will be concerted by applying more soft coordination mechanisms and complementing them with hard coordination mechanisms, if possible.

⁸³ This Figure summarizes Figures 9.1-9.6.

However, in case of a more ‘legalized’ trigger event, such as the introduction of a new law, the action will be coordinated by both types of mechanisms, since actions will be more legitimized. Thus, the nature of the coordination process in the Effort phase is marked by both the invisible and visible hand of coordination.

As Figure 9.7 shows, the model is dynamic, indicating that the organizational change process does not end with the Effort phase and that the organizations will continue their journey on the path of change.

10. Discussion of findings

By positioning the academic debate on organizational change in higher education research, and, more broadly, in organizational research, one of the main purposes of this study was to understand the process of organizational change during institutional upheaval. As a result, this study examined two BiH Universities undergoing organizational change. In so doing, three research questions (i.e. *what* change took place, *why* the change took place, and *how* the change took place) guided this study. A qualitative approach was used to ascertain the process theory of organizational change by incorporating context, structure and action. It covered the six years between 2000 and 2006, and relied primarily on interview data and the examination of written documentation.

In the following section, the three research questions are discussed. This is done by using interpretive frameworks developed in Chapter 4 and findings presented in Chapter 9. Subsequently, discussion on the main research question is outlined by applying the conceptual model developed in Chapter 4 and findings from process change phases in Chapter 9. Finally, discussion on similarities and differences of the change process is provided.

10.1 Outcomes: Pattern of Change

The first research question addressed the pattern of change, or the ‘reorganization packages’, in the two organizations under investigation. Three sets of outcomes, described in the interpretive model (see Figure 4.2), are also indicated in the data: an overload of initiatives, an emergence of multiple structures, and an imitation process. The strategy of introducing initiatives into a professional bureaucracy gradually (Mintzberg, 1993) resulted with an *overload of initiatives*. This applied to University organizations engaged in implementing academic reforms (e.g. Curricula Reform, ECTS introduction) and those engaged in organizational reforms (e.g. restructuring). A number of newly written organizational documents indicated a shift in the way the organization of teaching and research should be conducted. In implementing this new strategy, organizational members perceived deadlines as short, especially when many changes were initiated almost simultaneously. This overload of initiatives contributed to a tendency of ‘quick solutions’. *Multiple structures* emerged from the realization that existing structures were obsolete. This is characterized by the development of new structures of teaching and organization (e.g. Home Department) in order to treat emergent problems and offer some transition solutions. In such a case, the logic of organizational response became a cycle of ‘problem-

organization-problem-more organization' (Meyer, Stevenson & Webster, 1985 cited in Blau & Meyer, 1987: 148). Similar phenomenon was documented by De Holan and Phillips (2002), who found that managerial processes at the organizational level during a societal transition period resulted in a change in structures, in addition to a change in people and culture. Finally, *imitation* occurred as a result of the search for solutions and the models available for adoption. In general terms, one of the internally generated drivers for change may be the organizational members' feeling that organizational performance is poor. However, in cases characterized by a lack of performance measures, as is the case with the two University organizations from this study, one possibility is to look at similar organizations and identify room for improvement. In these two organizations, there was a tendency to follow 'examples' of other 'European'⁸⁴ universities when deciding about initiatives and directions taken. Following the logic of Meyer and Rowan (1977) the considerable pressure placed upon University organizations to replace their loosely coupled structures with the integrated structures may have been particularly significant. Conforming to the expectations of organizational members concerning structural characteristics can be a symbolic way of achieving credibility and legitimacy. This leads to the question of what kind of change patterns these three sets of outcomes indicate in the two organizations. Or in other words, what tracks have the two organizations chosen in order to engage in the change process?

10.1.1 University of Sarajevo: Archetypes and Tracks

What has been achieved so far in the University of Sarajevo regarding the higher education reforms can be seen as a form of 'unresolved excursion' (Hinings & Greenwood, 1988). At the beginning of the research period, initial contextual pressures were for an integrated form. However, three factors prevailed: first, the pattern of commitment within the organization was not constantly in line with the integrated form, but was changing gradually from competitive to reformatory; second, the power structure was diffused across various faculties; and third, there was no dissatisfaction with distribution of resources as long as they were directed towards the faculties. The University resembled the 'headless' archetype, with highly independent faculties and no central authority (Miller & Friesen, 1984). Dissatisfaction (with the existing organizational form) lay mainly with the University central administration, i.e. the Rector and his closest associates. Thus, at the beginning of the research period, the University may be associated with the

⁸⁴ A notion of the 'European' University needs to be treated cautiously here (i.e. it could be a study topic itself), since it refers only to expressions used by interviewees when referring to what they consider as modern, and integrated Universities.

‘fragmentation’ transition archetype (Miller & Friesen, 1984), characterized by the powerful subunits and weak central leadership.

As the research period developed, some turnover of personnel took place, together with numerous change initiatives emerging in the form of experimentation. Calling upon strong contextual pressures for change, the University management used the Senate’s meetings to urge for reforms. The transition archetype associated with the changes observed is ‘initiation by fire’, which is typical for situations with lack of managerial experience, characterized by scanning of the environment and limited effort (Miller & Friesen, 1984). Indeed, the scale of experimentation seems to have been escalating, even though it was constrained by the lack of organizational capability for deciding and implementing an integrated, modern University form. In other words, implementation of all these initiatives was challenged by the existing organizational form. Some of the initiatives were aimed at introducing additional structural layers, which would provide transition towards the more integrated University form (e.g. Home Department). Thus the experiments were run without resistance but there was no fundamental commitment. The organization can be seen as being in a ‘rebuttal’ phase (Laughlin, 1991), since there are modest structural changes and symbolic outcomes (i.e. changes in mission and plans). In other words, the organization was ‘enacting’ the environment (Pfeffer & Salancik, 1978).

In addition to symbolic changes, a participatory character of change was visible during preparation of, for example, important plans and documents (e.g. University Statute, Institutional Development Plan), when all faculties were asked for their comments. This was not surprising since the faculties housed those holding power to make decisions on change implementation. A participatory character of change resulted with minor changes in interpretive schemes (Bartunek, 1984), which may in turn lead to second-order change, if the organization remains on this track. One way of introducing second-order change would be to increase the pressure for change or to introduce officially defined performance-related measures. For instance, some performance measures would give strong signals about modified values focused on efficiency, modernization, and so on. It is important to mention here that by the end of data collection in December 2006, the Canton’s Government issued a document called Standards and Norms in Higher Education, and the University of Sarajevo actively participated in its preparation. The future will show whether the higher education institutions will comply with these measures.

Continuity of action to support change at the University of Sarajevo tends to be uncertain due to a high turnover in management positions at the university level (i.e. prior to amendments set out in the 2006 Higher

Education Law, the period of office was two years). For instance, when the Rector decided not to run for office again in mid 2006, there was pressure put on him from some organizational members to remain in this position. The media noted this turn of events. Although his successor was not one of his closest associates, it seems that the new Rector is continuing in the same tradition – that of supporting the reforms and change in general. The General Secretary, who has an administrative role, remained positioning office. An interesting question would be whether the organization gained satisfactory momentum for change in order for management to keep it on the track of change. The previous Rector is optimistic in saying that there is no way back to the old ways of organizing. The future track and final result will depend mainly on diffusing a fundamental commitment to change across the organization (Hinings & Greenwood, 1988), on neutralizing political interests to maintain the status quo, and on changing some interpretive schemes so that quality of education may be increased. Thus, if the University of Sarajevo continues with the changes under its own effort, the second-order change would be the one of ‘evolution’ (Laughlin, 1991), whereby changes in interpretive schemes would lead to changes in the organizational design. If, however, the new Umbrella Higher Education Law is introduced, or the Canton’s Higher Education Law is changed to allow the integrated University model, then second-order change may be brought about either by the ‘reorientation’ (Laughlin, 1991), whereby changes in design would be observed but not necessarily changes in interpretive schemes, or by the ‘colonization’ (Laughlin, 1991) by changing both organizational design and interpretive schemes.

10.1.2 University of Tuzla: Archetypes and Tracks

After the 1999 Canton’s Higher Education Law, the University of Tuzla started its change process by introducing the prescribed integrative structures (e.g. introduction of Vice Rectors’ offices and integrated services at the University), followed by the introduction of new rules and routines. This implied numerous reorganization initiatives, as well as the development of new structures. Organizational documents were rewritten in a manner to fit new requirements from the external environment – they resembled what was considered a ‘modern’ University organizational form. In Miller and Friesen’s (1984) typology, this organization is regarded as being in the ‘consolidation’ transition archetype, due to the emphasis on cost control and attention to budgeting. As a result, leadership was of the more transactional type, mainly concerned with the maintenance of existing structures and the reiteration and development of known expertise and knowledge (Hinings & Greenwood, 1988: 124). For instance the Vice Rector’s Office for Teaching and Student Affairs became a focal point for all academic reforms related to task complexity. This Office tends to have more responsibility for

integration within the university and associated reforms than the Bologna Team, which is composed of twenty members from various faculties.

The introduction of an integrative form was also supported by contextual pressures. At the beginning of the research period, the pattern of commitment within the organization was not entirely in line with this integrative form but the 1999 Canton's Higher Education Law offered no alternative. The power structure was concentrated on the University's management, allowing it to implement its preferences unhindered. By doing so, they engaged in emphasizing the need for change and promoting their own interpretations as to what needed to be changed. Overall, the evident dissatisfaction with the new distribution of resources was not enough to trigger a change back to the former organizational model. Hinings & Greenwood (1988) suggested that there is congruence between context, interpretive commitments, interests and the structure of power. This was also indicated in data as the close connection between the University's management and the Canton's authorities that is observed for some periods of study.

In this organization, the interpretive scheme and the prescribed framework resembled that of the integrative University, but the actual emergent structure tended to be that of professional bureaucracy (Mintzberg, 1993) with centralized power. Similarly, Hinings and Greenwood (1988: 153-154) hypothesized that the impact of environmental and task complexity, together with increased scale, would be to heighten the degree of professional bureaucracy. However, by establishing the new design and subsystem, the organization is considered to be embarking upon a 'reorientation' track (Laughlin, 1991). Thus its present form can be seen as an embryonic type of future integrative, modern University. The changes introduced were of a participative character (e.g. the most important decisions are always discussed by the Scientific-Teaching Councils and their suggestions are then summarized by the Senate), which result in changes in the interpretive schemes (Bartunek, 1984). Thereby, changes in both organizational structure and interpretive schemes were made. An example of change in the interpretive schemes would be the efforts of some organizational members to question teaching process.

In the first half of 2006, the newly elected Rector was in fact the former Vice Rector for Teaching and Student Affairs, which had two consequences. The first was that continuity of change would very probably prevail, since the new Rector was already familiar with the reforms and therefore needed no time to 'adjust'. The second consequence was that he was aware of the need for compromise in order to avoid dissatisfaction among organizational members, who frequently criticized the embryonic type as being a

centralized and not an integrated University model. As a result, if the organization aims at second-order change, then it will most likely enter the stage of 'colonization' (Laughlin, 1991), whereby both changes in interpretive schemes and changes in organizational design are present.

10.1.3 Summary

Data illustrated suggestion from the conceptual model that there are different types of change outcomes and different patterns of change that organizations will embark upon. Some change outcomes were of a more symbolic nature, whereas others were of a more substantive nature at both organizational and institutional levels. Thus, both Universities resemble organizations looking for structural answers (i.e. 'reorganization packages') to the pressures put upon them, since "in a situation where there is a lack of organizational capacity for change, it is easier to alter structures than to build new systems" (Hinings and Greenwood, 1988: 132). This tendency to solve problems by restructuring may be explained by the legalistic culture (i.e. the strong logic of appropriateness) that forms part of organizational history. However, due to the Universities' weak institutional context they are imitating other organizations, as suggested by Chiaburu and Chiaburu (2003). As a result, some new structural reforms are being introduced (e.g. Home Department).

Since two different sets of assumptions and structures are at work, both organizations are currently in a 'schizoid incoherence' phase (Hinings and Greenwood, 1988). In other words, they are caught between two ideal archetypes: Fragmented and Integrated (as described in Chapter 6). In their study on loosely coupled systems and information-technology-enabled networks, Dhillon and Orton (2001) noted a phenomenon of a constant state of schizoid incoherence in organizations. This may be even more remarkable in a setting where early history characteristics are highly influential, as is the case in the two University organizations. Namely, they fit Stinchcombe's (1965) description of two preservation processes of early history characteristics: first, they were insulated for a long period of time from any environmental pressures due to strong legitimated ideological positions; and second, they were not confronted with competitive forces. This is not surprising, if we consider a main feature of the socialist socio-economic systems as highly institutionalized environments and their political-ideological influence on organizational structure, behavior and management (see Tsoukas, 1994). Therefore, the two organizations resemble Tsoukas and Papoulas (2005) description of 'state-political' firms operating for decades on the same principles of structures and processes, such that the introduction of new operating logics was not easy. As Stinchcombe (1965) predicted, the two organizations did not account for the pressures for change until the changes in their environment became particularly dramatic. Indeed, efforts

were made to set the two Universities on change tracks only when internal and external pressures accumulated to such extent that they could not be ignored further.

As the Rectors of both Universities pointed out, after the implementation of initial changes, the point of no return was reached, and only another legal reform could redirect their organizations onto a different track. This viewpoint may be too optimistic and should be accepted with caution, since a plausible explanation could be that both organizations had only reached an embryonic archetype (Hinings & Greenwood, 1988). Findings indicate that one of the organizations has a more articulated embryonic archetype than the other; the University of Tuzla is more stable, due to the reorganization that took place in 1999. This means that the University of Tuzla has reached an embryonic integrated University structure, although there is still a long way to go before 'reorientation' (Hinings & Greenwood, 1988) is reached. According to Hinings and Greenwood (1988: 115), reorientation builds up an initial momentum that helps break down the constraining assumptions of one archetype and propels the organization towards another. The University of Sarajevo, however, is only on the verge of reaching an embryonic archetype. For the University of Sarajevo, if it is to continue reinforcing changes that have been initiated, it is more important to put further integrative functions in place. This may be achieved by changes in the legal framework (e.g. introduction of the Umbrella Higher Education Law or change in the Canton's Higher Education Law).

However, there are advantages and disadvantages for future action. For instance, a lack of structural and system elements with which to achieve reorientation was observed in both organizations during the period of this study. This is reflected in the gradual introduction of many change initiatives in both organizations, and their desire that unresolved issues should be solved at some later point in time. An advantage lies in the commitment to change of both organizations, which indicates that there is no alternative to reform. If so, then the reformatory commitment to change is prevailing. Hinings and Greenwood (1988) suggested that the nature of the commitment to the prevailing or alternative interpretive schemes is an important indicator of future organizational tracks. If this prediction is correct, then both University organizations will continue with their reorientation efforts (Hinings & Greenwood, 1988). Similarly, Ranson *et al.* (1980: 12) propose that there will be a change in structure if organizational members revise the purpose of change and the role of the University as a whole and the interpretive schemes that underpin the structure of their organizations. During the study period, organizational members were engaged in revising their understanding of the purpose of a University and of the means to achieving the new structures necessary for the new role. This revision

resulted in a shift in the interpretation of the University's mission (at least in written documents). As Ranson *et al.* (1980) suggested, any revision of the University's mission is reflected in shifts in values, interests, and structure. This implies a time consuming process for any second-order change to gain momentum.

10.2 Conditions of Ambiguity

The second research question refers to conditions that permit or constrain the change process. What were the 'multiple interpretations' for the two organizations? The literature shows that factors such as environmental ambiguity, short attention spans, and organizational tolerance of inconsistency will influence a level of incongruence in organizations (Bem, 1970 cited in March and Olsen, 1976: 64). This level of organizational incongruence emerged in the data as organizational members' perceptions of sources of ambiguity. Indices of *perceived ambiguity* were found in data when interviewees expressed their concerns with regard to financial issues, intra-organizational complexity, inter-organizational complexity, procedural complexity and individual dilemma.

Perceived ambiguity was found to be a result of three factors corresponding to those developed in the interpretative framework (see Figure 4.3): i.e., *weak institutional context*, used by organizational members to describe lack of policy (resources and specific law regulations) concerning higher education reforms; a set of *organizational properties* that members felt placed limits on the planned changes (challenges with implementation, lack of mandate and planning, system dysfunction); and a set of *competing understandings* based largely on inherited values on one hand, and on impressions from a number of visiting consultants and vague guidelines with regard to the creation of EHEA on the other (administrative heritage vs. responsibilities and role perception). The weak institutional context corresponds to the concept of *ambiguity of intention*, whereas the set of organizational properties interrelates to the concept of the *ambiguity of purpose*. At the individual level, ambiguous situations result in individuals agreeing or disagreeing on some viewpoints (Martin & Meyerson, 1988), leading to the *role ambiguity*. These three factors acted as *triggers for perceived ambiguity* and were indicated in data. In addition, the three factors involved both structural (unclear responsibilities and authority) and cultural (discrepancies in the attitudes and values of staff members) ambiguity (Bess, 2006).

One of the findings is the empirically-based concept of perceived ambiguity, which corresponds to the theoretical concept of strategic ambiguity. Perceived ambiguity emerged as a gap between perceived responsibility and

given authority (i.e. competing understandings). For instance, both Rectors saw their role as that of being responsible for ‘making the University’, even though such statements were not made on the basis of any actual authority. In addition, University management teams behaved as the reform owners, and considered that only academics could decide what changes were the best for the University. Thus a momentum of change was seen as taking place under conditions of multiple interpretations. These multiple interpretations can be considered as a series of incompatibilities (Hinings & Greenwood, 1988) brought about by inconsistencies between the existing University organization and external pressures for change. Incompatibilities are created by the existence of several different interpretations of the same point (Soulsby & Clark, 2007) and are exacerbated by strategic ambiguity. As Bess (2006: 522) suggests, strategic ambiguity may lead to increased individual commitment and to a redefinition of the institution’s purpose. This supports the importance of strategic ambiguity in the change process. Thus, as Weick (1995) suggests, ambiguity represents an occasion for sense-making, whereas the ‘creative opportunism’ (Denis *et al.*, 2001) corresponds to the notion of strategic ambiguity identified in this study - a chance for action and change. This study suggests that ambiguity is an occasion for action, and not necessarily as a determinant of certain outcomes in a causal sense. Hence references of organizational members to issues related to the Bologna process and EHEA do not necessarily cause action; rather, action is instigated by the recognition of an undesirable condition - e.g. not being accredited as a ‘European’ University.

Based on the argument above, the data illustrate the suggestion from the conceptual model: that ambiguity is prevailing and changing its nature during the change process. This discussion leads to the third finding: what has been done in order to conduct a change.

10.3 Action and its Coordination

How is momentum for change built in the two organizations? Or in other words, how are ‘workable realities’ defined? The interpretive framework (see Figure 4.4) suggests four mechanisms of coordination that corresponded to four mainstream processes emerged in data: commitment building, image building, improvisation, and consolidation. In both organizations, if something is to be decided at the University level, then decisions are made by the Senate. This is not surprising, since communication in a University type of organization, is enabled at Senate meetings. In the Senate arena, organizational action is usually coordinated by individuals who are motivated enough to mobilize resources aimed at resolving the issues in hand. Contractor & Ehrlich (1993: 258) also suggest that multiple interpretations lead to expectations of coordinated action by the

constituencies. The degree of successful coordination will depend on the ability of influential individuals in the collective arenas to promote their change initiatives. Similar phenomenon is noted by Boons and Strannegard (2000). Such views suggest that individuals must *act* to change the organization.

Both Rectors mentioned their closest associates as the 'coalition members' who help them restructure their Universities; this allowed for the emergence of political alliances. In addition, both Rectors, together with their closest associates, engaged strongly in 'helping others to understand' what needed to be done, by articulating crisis claims in order to build commitment to reforms and promote the image of the modern University. This indicates a process of sense-making on a collective level, or the collective sense-making (Weick, 1995). Thus an explanatory framework for data discussion emerged as: *sense-making* and *sense-giving*. In the context of this study, sense-making was featured by construction of the meaning of the nature of change, whereas sense-giving concerns influencing other member's sense-making in order to define organizational reality. This process of defining organizational realities resulted with emergence of *workable realities*. Hence the Senate was an arena where influential individuals exercised their power of meaning (Hardy, 1994, 1996) to trigger collective action (collective sense-making and sense-giving) with regard to, for example, the centralization of educational matters and institutional innovations.

Sense-making was demonstrated in data by *commitment* and *image building* – the interpretive framework suggested in Figure 4.4. For instance, both Rectors engaged in political action (Lawler & Bacharach, 1983), by using specific tactics to deal with opposition and to maximize their influence at the Senate meetings. Their influence tactics involved, among others, mechanisms of: agenda setting, coalition building, and symbolic management (Pfeffer, 1981) as well as overloading the system (Cohen & March, 1986). The Rector of the University of Sarajevo visited faculties, put reform issues on the Senate's agenda, and negotiated with the canton's government. Together with his closest associates, he was building a commitment, from competitive into reformative commitment (Hinings & Greenwood, 1988) by introducing the new University Statute, for example. The Rector of the University of Tuzla also negotiated with the Canton's government, and tried to build the image of an integrative and progressive university. Both commitment and image building are seen as a part of symbolic management. Indeed, the findings of Hinings and Greenwood (1988: 114-115) indicated that both reorientations and non-orientations usually occur because there are individuals with the skills to recognize emergent trends and to create those trends - at least partly - by restructuring areas of the organization in highly symbolic ways. As Bartunek (1984)

suggested, the type of change is affected by those members that interpret the pressures from the environment. These and other similar activities indicate a sense-making process in action – crystallizing the University’s strategic orientation (i.e. commitment) and image.

Sense-giving was also demonstrated in both organizations, through the processes of *improvisation* and *consolidation* – as suggested in the interpretive framework in Figure 4.4. Improvisation was taking place in both gradual and radical shifts from the previous behavior (Weick, 1993a). For instance, market-reorientation was considered a gradual change, whereas the new organization of teaching was considered a more radical change. In addition, legitimacy seeking in the University of Sarajevo referred to a process of improvisation. Concerning consolidation, the Rector of Sarajevo University and his closest associates insisted on speeding up the Campus building project, as well as working on introducing some administrative integrative functions. On the other hand, the Rector of Tuzla University with his associates worked towards expanding certain areas of activity and organization (e.g. Human Resource policy), and supported more profit-oriented organizational developments. Improvisation and consolidation assume that a number of task groups and committees are appointed. This is in line with the Hinings and Greenwood (1988) claims that some integrative structures are put in place in order to provide three things: visibility to the new sets of ideas and values; opportunities for professional departments to participate in the teams and task forces; and new skills for the development of new budgetary procedures and policy frameworks. The authors provide examples of integrative structures as usually consisting of lateral devices (i.e. interdepartmental teams and task forces) that cross professional boundaries, combined with staff specialists (e.g. policy analysts, corporate planners, research and intelligence officers). Similarly, data from this study indicate that the visibility of a new set of ideas and values is the prevailing factor for establishment of task groups and committees. As a result, the sense-giving indicate a management style that tends to be exploitative. Similar phenomenon is documented by Dixon *et al.* (2007) in formerly state-owned enterprises in the post-socialism, who found that in the beginning of transition, there is a need for an authoritarian management style.

Yet another reason for influential individuals to engage in sense-making and sense-giving is that they are usually characterized by multiple roles. In this context, role accumulation ensures that they have access to politicians at the canton’s levels, especially in smaller cantons. For reasons pointed out by Clark (1977), balkanized canton’s administration goes hand in hand with control by constituency. Thus coordination of the system is largely provided by oligarchical relations. This suggests that coordination becomes ‘professional’ at the expense of being ‘bureaucratic’ (Clark, 1979). Under

conditions of institutional upheaval a modified process is noted: coordination becomes professional since there is a rather weak (or non-existent) bureaucracy. Even institutional theory allows for the role of agency in such cases. As Fligstein (1991: 317) emphasizes, in periods of instability, powerful actors in existing organizations that act on a basis of their perception of the situation will underpin change. In a similar vein, Rowan (1982) proposes that, due to the lack of power of societal interest upon internal operating processes, organizations have the power to challenge or abandon various institutionalized forms of structure during periods of crisis within social networks. This would suggest that organizations can make a conscious choice to be perceived as legitimate rather than to wait for legitimacy to be conferred – a phenomenon that has been illustrated by data in this study.

In summary, the data illustrated the suggestion from the conceptual model: that management teams will engage in sense-making and sense-giving in order to undertake change. The two modes of sense-making and sense-giving conceptualize the process of managing change in the two organizations. Sense-making resulted in symbolic change outcomes, and sense-giving in substantive change outcomes at the organizational level and institutional change outcomes. In other words, the effort is coordinated in order to ‘formulate purpose’ and ‘formulate intention’ – two processes that deal with ambiguity management, and that formulate ‘workable realities’. This indicates that when political action takes place in a context of strategic ambiguity, then influential individuals are using tactics in order to deal with opposition and maximize their influence (Lawler & Bacharach, 1983). A similar phenomenon is found in the context of a hospital organization, whereby organizational members use tactics to influence the course of events (Denis *et al.* 1996). Thus it is more appropriate to talk about the *politicized sense-making* phenomenon, which incorporates both sense-making and sense-giving processes. The data support Clark’s (2004) findings that politicized sense-making involves three types of activities: managing coalitions (e.g. Rectors were managing their coalitions among the Senate members), building coalitions with the outside world (e.g. invitation of Canton’s authorities to attend the Senate meeting at the University of Sarajevo in November 2005), and some ‘wild’ choices (e.g. ignoring, resisting and deviating from Canton’s Higher Education Laws by introducing the Temporary Study Rules in the University of Sarajevo).

10.4 Organizational Change during Institutional Upheaval

As indicated in Chapter 4, a combination of multiple interpretations (conditions), workable realities (actions), and reorganization packages (outcomes) may help to understand the process of organizational change

during institutional upheaval. However, what is not known is *how* the organizational response to change occurs, nor are the details of this process understood. The purpose of this study, therefore, was to open the ‘black box’ of the process of organizational change by providing insights into the factors and sub-processes involved. This process is taking place in higher education institutions undergoing paradigm shift and situated change (i.e. episodic and continuous changes), when situated change is hosted in a weak institutional context.

Data indicate that organizational change during institutional upheaval can be divided into three phases: Departure Point; Opportunity; and Effort. The first important insight revealed by data analysis referred to the post-1995 period and was captured by the Departure Point phase. At the beginning of the process, the context is characterized by a weak policy context, poor organizational capacity for action, and varying motivation for change among organizational members. Thus the Departure Point involves conditions that constrain rather than promote actions. As a result, the organizations are, excepting a few sporadic change efforts, rather paralyzed by high ambiguity and uncertainty. The change process is then triggered by an external event leading to bold, rapid changes within the organizations. This external shock can be considered as a punctuated equilibrium situation (Gersick, 1991; Tushman & Romanelli, 1985), or as an episodic change (Weick & Quinn, 1999). As a result, the Opportunity phase commences, which allows individual involvement and action. Indeed, the second important insight revealed by data analysis emerged as the Universities dealt with the effects of perceived ambiguity. It is in this phase that multiple interpretations have occurred, and emphasis was on the conditions that triggered the change. The third important insight revealed by data analysis showed the appearance of organizational responses that needed further coordination. Thus, the Effort phase mainly referred to a phenomenon of coordination of action. When the actions of management were examined during data analysis, the phenomenon of the coordination of action under ambiguity was observed. This phenomenon would seem to be triggered by a gap between perceived responsibility and authority, and to be characterized by management taking action in response to the need for change under conditions of perceived ambiguity. The actions involved processes of defining workable realities and resulted in reorganization packages. This interplay of conditions, actions and outcomes may be applied to the phases of organizational change. Figure 10.1 summarizes phases of the organizational change process (previously identified in the Figure 9.7) in light of the conditions, actions and outcomes of change.

In summary, findings suggest that the process of organizational change depends on three factors: conditions under which the change takes place;

action as an organized effort to deal with the opportunities for change; and outcomes of the change, which in turn impact conditions. The remainder of this section will discuss dimensions, drivers, similarities and differences of the process of organizational change during institutional upheaval.

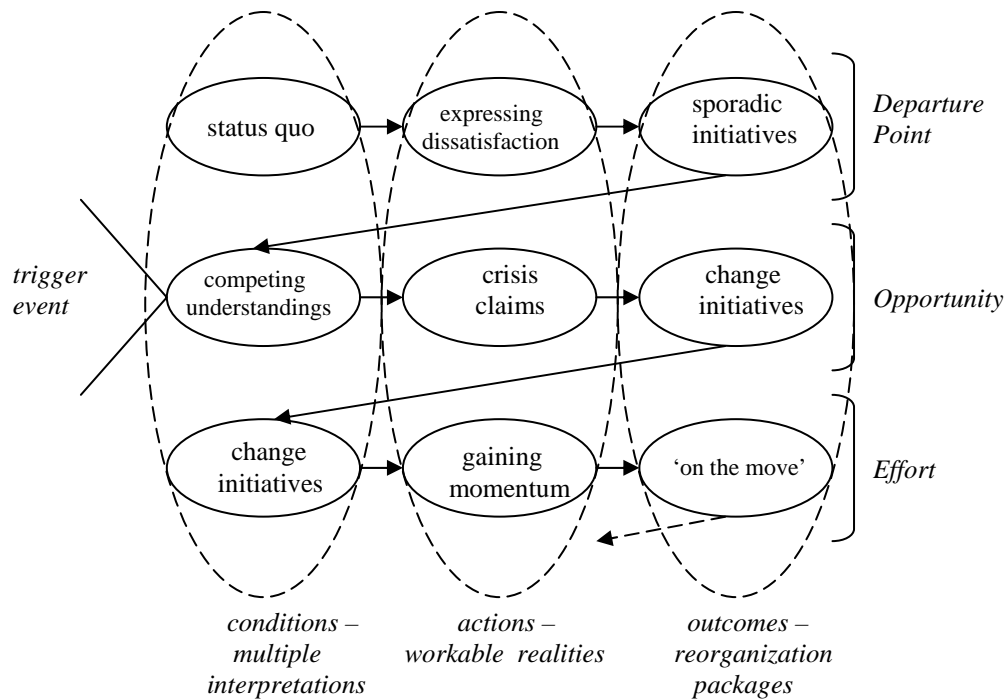


Figure 10.1 Phases, conditions, actions and outcomes

10.4.1 Dimensions of organizational change

The way to understand the dynamics of the organizational change process is to examine a number of initiatives undertaken and the way they are coordinated (as suggested in the conceptual model in Chapter 4). Each of the initiatives is considered as an outcome of the micro process of change while implementing reform. Since, in situations of institutional upheaval, reforms are mainly presented in a rhetoric manner, sources that might initiate changes considered as major shocks to the system are: external sources (e.g. new legislation act), previous initiatives (e.g. unintended consequences of earlier initiatives), or intra-organizational events (e.g. personnel turnover). In the University of Tuzla, the merger and new Rector's arrival can be seen as trigger events, whereas in the University of Sarajevo it was a new Rector's arrival. Thus, for an organization to embark upon a change path, the stimuli or desire for change must be triggered. Major shocks, or trigger events, will initiate responses to the emergent issues.

New initiatives can be seen as specific issues that the organization is dealing with. These issues are then discussed, calling for collective action. Indeed, saturation level is reached when the situation deteriorates to such a point that most of the members of the organization take notice. If this is the case, an influential individual or group may proffer a suggestion, or an initiative. In order to trigger a collective action, a set of tactics may be used. The process at a point in time, $t(n)$, is similar to the process at a point in time, $t(n+1)$, yet not the same. There are alternations that these initiatives take on the way indicating endogenous dimension of change (Langley & Denis, 2006). This order of events, and effects of previous events on subsequent events are critical to future actions (Langley & Denis, 2006). Namely, as the initiatives develop through a series of events, the actors learn how to interact and manage coalitions. Their experience teaches them what kinds of approaches are easier and what are more difficult for triggering collective action. By gaining a support base and developing a nucleus, the chances for initiative to further develop increase. This process of 'gaining support and developing a nucleus' can be achieved by usurpation tactics; or by building awareness; or simply by 'selling' the idea within the Senate. Finally a joint front is created at a central level. If not, an alternative is to wait for the law of situation to dictate a solution. Described in this way, two dimensions of the situated change process, dynamic and endogenous (Langley & Denis, 2006), are indicated. The subsequent section will address the drivers for change and their relation to all four dimensions of the situated change view.

10.4.2 Dual-motor organizational change process

Some theorists suggested a revolutionary, radical, punctuated equilibrium model of change in non-stable environments and institutional upheaval. However, the approach here calls for a situated change view (Langley & Denis, 2006) and dual-motor change process. The way to discuss the process of change described above is to apply two generative mechanisms or motors as suggested in the conceptual model in Chapter 4: the teleological and the dialectic. The simplified framework for discussion of findings is shown in Figure 10.2 (and is interrelated to the dynamic nature of change presented in Figure 9.5). Based on the earlier presented discussion of three research questions (see sections 10.1.1, 10.1.2, and 10.1.3), outcomes are characterized by the *schizoid incoherence* stage, actions are featured by a process of *politicized sense-making* and conditions are those of the *strategic ambiguity*. This figure also captures the changing nature of ambiguity as dependent on change in the outcomes, which further suggests the unplanned character of a change process.

The two mechanisms operate at different levels of analysis. Individual action that promotes or resists change is best represented by the teleological motor. The Effort phase will be used for illustrative purposes, since it shows the characteristics of the processes from Figure 10.2 most distinctively. In the Effort phase, a teleological motor operates at the strategic level to create a momentum to change, either to the new organizational form, as in the University of Sarajevo, or to formalize an already established merger, as in the University of Tuzla. In so doing, the change initiatives appeared to have a disintegrative character (Langley & Denis, 2006), since an ambition was to modify the previous system of structures and processes. At the organizational level, it is possible to observe multiple individual mechanisms in a dialectic relationship. This implies that in both organizations there have been opposing forces in the form of individual resistance and organizational practices that were not in line with the newly proposed or implemented organizational model. This plurality of forces is indicated by the existence of multiple interpretations, resulting in the dynamic, endogenous and asymmetrical nature of changes (Langley & Denis, 2006). Thus the change process described in this study illustrates the operation of both teleological and dialectic motors across the process. In addition, the dynamics of dual-motor change supports unpredictability and the ever-changing character of conditions, actions and outcomes (Langley & Denis, 2006).

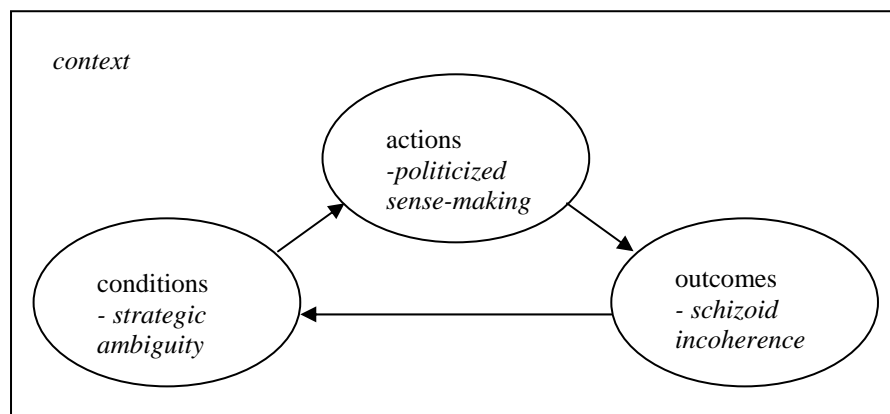


Figure 10.2 Organizational change process

The dual-motor change presented above refers to all three phases, albeit with different intensity. Findings indicate a high ambiguity in the Departure Point phase, and therefore a low level of action. In the Opportunity phase, ambiguity is still present to a high degree; however it can be used strategically to urge action. In the Effort phase, the level and pace of action will increase. Having discussed the three phases of the organizational change process indicated in the empirical part of the study (i.e. Departure Point,

Opportunity, and Effort), the two subsequent sections address the differences and similarities of the change process for different organizations. In order to capture these similarities and differences, the change process in both organizations is compared over these three phases.

10.4.3 Similarities of the Change Process

The theory of strategic organization design change suggests that organizations aimed at the successful implementation of their interpretive scheme and organizational design are forced to produce considerable early change activity to overcome inertia (Hinings & Greenwood, 1988: 108-109). This study shows that a considerable amount of change took place under conditions of ambiguity, triggered by some important events. Unlike findings from other empirical studies (see, for example, Fox-Wolfgramm *et al.*, 1998), there was no strong institutional pressure for change in the organizations reported in this study. Rather, a combination of *strategic ambiguity* provided conditions for influential individuals to exercise political action in the arena of collective sense-making (Weick, 1995). As a result, *politicized sense-making* took place and culminated in a momentum for change.

The empirical evidence from this study also indicates that the two organizations in question both tend to be on the unresolved excursion track – i.e. *schizoid incoherence* (Hinings & Greenwood, 1988). There are several reasons for such an observation. First, multiple structures were put in place and operationalized simultaneously with existing structures. Such irrationality contributed to the persistence of oscillations and organizational inconsistency. Second, the two Universities have eventual external accreditation as a main aim. To achieve accreditation, the integrated University structure is seen as essential, and is used as the desired and dominant organizational model. However, due to ambiguous internal and external situations, the interpretation of this model is left to each individual organization's members. Factors that add to the complexity of the interpretation and opportunistic behaviors during the interpretation are copying and borrowing models from the (European) Western University, the existence of which is in itself an enigma. As a result, the coordination of reform efforts is seen as both the mediation of change and the production of the end result. Thus symbolic management, which is a part of every change process, becomes even more important. For instance, at the University of Sarajevo, symbolic management was characterized by introducing the University Statute, Temporary Study Rules and Home Department. This supported the transition from the competitive into the reformative commitment. Strategic ambiguity provided conditions for legitimacy seeking. At the University of Tuzla, symbolic management gravitated

towards claims of being a pioneer of reforms. The disintegrative character of situated change (Langley & Denis, 2006) was indicated by claims that ‘there is no way back’, referring to the impossibility of a return to the situation in which the organization existed before major interventions.

10.4.4 Differences of the Change Process

The change tracks upon which organizations embark will depend on their starting point⁸⁵ (Hinings & Greenwood, 1988). This is clearly supported by the empirical findings in this study. Both organizations had different Opportunity phase characteristics that led to different starting conditions. Therefore their change paths in various periods differed. However, in general, both organizations can be considered at being at various levels of the new embryonic organizational archetypes and as being within the unresolved excursion mode. From their studies of municipalities, Hinings and Greenwood (1988) found that change occurs more quickly where organizational size is small, where there is low structural and task complexity, and where mergers and amalgamations sharpen the search for a relevant organizational form to cope with the new situation (Greenwood & Hinings, 1996: 1044). The findings in this study support this claim. At the University of Tuzla, which is smaller and commenced organizational reforms earlier than the University of Sarajevo (due to a legally proclaimed merger and reorganization), a new interpretive scheme was developed by the management concentrating on the expansion of activity domains, the formalization of its merger, strategic planning, and a profit-oriented approach. These new strategies were embodied in a mission statement.

In addition, the pattern of disintegrative character of situated change differed in the two University organizations, due to different Opportunity phases. In the University of Tuzla, disintegration was put in place by the 1999 Canton’s Higher Education Law, and the organization was built from ‘scratch’. In the University of Sarajevo, disintegration was to a large part represented in the Effort phase, in order to introduce the new logic of operating.

With different Opportunity phases, the two organizations also exercised different processes in the Effort phase. The University of Sarajevo was more occupied with building the commitment to change internally, and seeking legitimacy, while at the same time petitioning the Canton’s government for

⁸⁵ Hinings and Greenwood (1988) referred to this starting point as ‘departure point’. However in order to avoid misunderstandings with the Departure Point phase, which the present study uses as the beginning phase in the organizational change process, expression of starting point is used here. Hinings and Greenwood’s (1988) expression of ‘departure point’ in fact is interrelated to the Opportunity phase in the present study.

law revisions. The University of Tuzla, on the other hand, was more preoccupied with building a new image and seeking external legitimacy for its reform efforts.

10.5 Summary

The argument can be summarized in the following way: in both stable and non-stable environments, organizational members are engaged in a sense-making process – defining workable realities. However, in non-stable environments this process may be quite radical and intense, resulting in a plurality of interpretations on what needs to be done. The complexity of the organizational change process during institutional upheaval as illustrated by the data is reminiscent of the garbage can perspective (Cohen *et al.*, 1972). Variety and intensity of workable realities leads to a large number of reorganization packages. Those reorganization packages suggested by influential individuals in the process of politicized sense-making will bring about momentum for change and determine the organization's direction for change. Three characteristics of such a change are: organizations embarking upon the change track reflected in a number of outcomes; intensified multiple interpretations creating a situation of strategic ambiguity; and involvement of influential individuals in politicized sense-making resulting in momentum for change.

Thus, organizational change during institutional upheaval can be considered as a situated, dual-motor change facilitated by the context of strategic ambiguity and the process of politicized sense-making. In this case, context and process are equally important in explaining substantive outcomes. As a result, organizations spend a considerable amount of time in a stage of schizoid incoherence, oscillating between ideal organizational archetypes. Similarities and differences among organizations with regard to the process of organizational change will depend largely on contextual factors. The drivers of similarities are two facilitators of change: strategic ambiguity and politicized sense-making.

11. Concluding Discussion, Limitations and Implications

This final chapter aims at presenting an overview of the main issues addressed in this study. First, the main findings of this study are discussed. Then limitations of the study are outlined. Next, theoretical implications are addressed in light of the overall purpose of the study. Thereafter, policy implications are outlined for those involved in designing higher education policy in societies in transition. Finally, implications for further research are suggested.

11.1 Concluding discussion

Change happens continuously but sometimes catastrophic events happen that can lead to a different process of change. The fall of communism and armed conflict are examples of such catastrophic events. At the same time, more gradual change, such as that related to globalization and technological advances, can add to the effect. In such circumstance, especially following catastrophic events, a primary goal of individuals, organizations and societies becomes how to handle external (global) pressures while rebuilding the internal institutional framework. This study set out to examine this phenomenon of organizational change during institutional upheaval.

The situation in BiH in general, and in its higher education in particular, provided a suitable context for such a study. Pressures for change in higher education in BiH was not only through external (global) pressures but also internal through political, and socio-economic system change. Two institutions of higher education were chosen as research sites. These two organizations differed in their organizational structures. One was example of a more fragmented University organization. The other was an example of a more integrated University organization. The research design intentionally involved the two units of observation that allowed for maximum variation in units of observation. In so doing, more plausible findings of the phenomenon studied were expected to be accounted for.

The overall purpose of the study was to explore and understand the organizational change process. Throughout the study, the change process has been described, analyzed and interpreted. Some of the main factors that promote or impede change have been presented and relationships between them examined. However, the ability to generalize these factors to every action for change has not been claimed. In fact, one of the main aims of this study has been to generate theoretically plausible explanations of how the process of organizational change unfolds based on the empirical study of

specific social situations. The theoretical explanations presented here provide explanations of the phenomenon actually studied.

This study aimed at offering some new insights into the factors that foster organizational change during institutional upheaval. One of the main findings of this study has been that, by viewing organizational change during institutional upheaval as situated change, a dual-motor change process can be utilized to help understand such change. At the strategic level, a teleological motor is employed in order to capture managerial actions promoting change. It was assumed that change is driven by the actions of individuals, especially those who can exercise their influence and discretion in attempting to change an organization's mission and structure. At the organizational level, a dialectic motor is employed. It was assumed that organizations are complex entities, comprising many goal-directed individuals with incompatible goals. In the case of ill-structured goals, the mechanism for driving change is dialectical, since change is the product of the interplay between opposing forces. Situated change accounts for episodic and continuous changes. In this study, various change types were captured by three phases of change: Departure Point, Opportunity and Effort. The extent to which four dimensions of situated change are represented (i.e. disintegrative, dynamic, endogenous and asymmetric) will depend on the nature of episodic change (i.e. the Opportunity phase), which is suggested as a starting point for an organization to embark upon change. Findings indicate that the dual-motor change process incorporates conditions of *strategic ambiguity* providing opportunities for political action in an arena of collective sense-making. This political action in the collective arena is called *politicized sense-making*. Past research suggested viewing strategic management of for-profit organizations in transition as socio-political sense-making (see Clark 2004). As an outcome of the identified conditions and actions, the organizations that were the focus of this research were found to be at the stage of *schizoid incoherence*. This stage suggests that organizations are oscillating between the endpoints of change: the departure archetype of a fragmented University and the desired archetype of an integrated University.

More specifically, the present study has identified the strong influence of context in institutional upheaval, as well as the importance of influential individuals in the change process. The data indicate that ambiguity perceived by organizational members became a prevailing organizational condition that, in combination with the efforts of influential individuals, produced change initiatives. Conditions of strategic ambiguity emerged in situations of a weak institutional environment and strong pressures for change. This resulted with the emergence of multiple interpretations about future organizational action. Under conditions of multiple interpretations,

influential individuals were enabled to initiate changes. While past research has been divided and treated ambiguity as either preventing (Hinings & Greenwood, 1988) or fostering (Contractor & Ehrlich, 1993) change, this study has shown that, during the period under investigation, ambiguity acted as a facilitator of the change process.

In addition, attempts to understand change initiatives have underscored the importance of political activity in internal coalitions and external networks during the management of organizational change. Processes of commitment-building, image-building, improvisation and consolidation are indicated as important during the processes of sense-making and sense-giving in collective arenas of sense- and decision-making. Accumulated change initiatives will not necessarily lead to reorientation, but will tend to shake up the organization, to put it into an oscillation phase, so that the destiny of the organization will depend on the future actions of its members. Outcomes of initiatives for change are understood as symbolic, substantive and institutional change outcomes. While past research accounted for symbolic and substantive outcomes of the strategic leadership under ambiguity (Denis *et al.*, 1996), this study also indicated several change outcomes at the institutional level.

In addition to the overall context, specifics of the organization - for example, whether it is a profit or non-profit professional organization - will also influence the extent of and the motivation for organizational change. For instance, tension between organizational and individual goals is influential in professional organizations, where multiple and inconsistent goals are more the rule than the exception, and where much of reform implementation lies in the hands of individuals. The initiation of change, therefore, requires a significant effort due to the organization's inability to plan and satisfy multiple goals. Achieving desirable outcomes will depend on the ability of organizational members to articulate some mutually recognized and accepted organizational goals and to coordinate action towards these goals. Under certain conditions, understanding the process of change becomes an inquiry into how organizations manage ambiguity.

In summary, this study provides three important insights with regard to level of analysis, findings, and the conceptual model suggested. *First*, while the interest and focus of the study was the phenomenon of organizational change, multilevel data collection was taking place. Therefore, the level of analysis and the level of observation were different. *Second*, what would findings of this study suggest for other organizations experiencing the change in institutional upheaval? Would the process unfold in the same pattern? As suggested by the findings on similarities and differences of the change process in the two University organizations in this study, drivers of

similarities would be the two facilitators of change, strategic ambiguity and politicized sense-making. However, differences would also exist, and probably would relate to the extent to which the two facilitators of change are in place in a certain context, and in certain organizations. *Third*, in evaluating the conceptual model, it is considered that such a model allowed for dimensions of situated change to be incorporated that would otherwise be difficult to account for. In addition, the conceptual model indicates a state of instability and emergence in the change process, and therefore, does not focus on determining outcomes. The model also suggests that change is continuous, and does not account for the organizational form after the transition phase is finished.

The following sections will outline implications of this study for theory, policy and further research.

11.2 Limitations of the study

This study has several limitations. First, the *phenomenon of organizational change* is an ambiguous entity. This study has chosen a rather broad approach to change, since it has focused mainly on the exploration and understanding of this phenomenon in a particular historical setting. In so doing, the emphasis has been put on how changes to a University's organization are initiated, especially in a time of institutional upheaval. In order to account for patterns in the change process, two units of observation were chosen due to their different organizational structures. Choosing the two different organizations of the same institutional type undergoing change within the same external context was expected to lead to conclusions about patterns, and facilitators of change. In addition, the findings indicated how two motors of change (teleological and dialectical) relate to the dimensions of situated change. While the approach chosen aimed at improving the understanding of the organizational change during institutional upheaval, specifics of the study design did not allow for more detailed examination on, for example, how the facilitators of change may relate to the dimensions of situated change.

Second, there are some *methodological limitations*. The under-representation of faculty staff other than Deans and Senate members may have resulted in a limited perspective on the change process – mainly on its initiation, whereas the actual implementation of change is left to individuals at all university levels. In addition, there is a vulnerability of first-order data to retrospective sense-making (Weick, 1995) – a phenomenon common to interview data. Most likely, if time and resources had allowed, observations of the Senate meetings would have enabled a more complete insight into the change process. In addition, being able to have more than one person engaged in

coding would have removed some of the coding limitations, which are detailed in Chapter 5. However, some additional tests were employed in order to deal with this limitation (see also Chapter 5).

Third, there are limitations related to the *role of researcher* related to trade-offs of being an insider or outsider to the organizations studied. The researcher was not an employee in the organizations studied and therefore, could be considered as having an outsider's role. However, familiarity with the context was provided through the researcher's experience in the undergraduate programs of the BiH higher education system, as well as researcher's involvement in the Education Management Research and Training (BOSHMAN) research project.

Where possible, the research design was aimed at 'dealing' with the limitations in this study. In addition, presentations of the project that took place at several conferences⁸⁶, seminars and among colleagues at the Center for Education Management Research (CEM) provided an opportunity to discuss the research project and its limitations in research arenas.

11.3 Implications for Theory

The purpose of this study has been to contribute to the academic debate on organizational change in higher education and to organization theory by exploring the phenomenon of organizational change during institutional upheaval. It is within these two research contexts that implications for theory are discussed. Five issues are raised by this study and considered relevant for the two research contexts.

First, as outlined in the introductory and literature review chapters, the research literature on organizational change in higher education is fragmented with regard what is meant by organizational change and consequently how it should be understood. One main stream of literature, discusses mainly University models and hybrid organizational forms that have emerged in recent years. Higher education institutions, as study objects, seem to have contributed significantly in the development of rather 'deviant' organizational models. As a result, various models and hybrid forms are identified. The other main stream in literature is mainly concerned with the impact of various higher education reforms at the individual level (e.g.

⁸⁶ The research project was presented at the following conferences: 2005 Universities' Quality Development under Globalization (UNIQUAL) organized by Norwegian Institute for Science and Technology (NTNU), Trondheim; 2006 School Management Training for Accountable Quality Education (HEAD), organized by BI Norwegian School of Management, Oslo; and 2006 European Academy of Management (EURAM) organized by BI Norwegian School of Management, Oslo.

academics), organizational level, or at the system level (e.g. institution-government interface). As a result, there has been a tendency in employing the comparative approach to document changes in different national systems and different institutions. However, what has been missing in this approach is an understanding of *why* there are differences in organizational responses to a changing environment. This study has attempted to reveal the details of organizational change process, and to the role of individual actors within universities in this process. In order to account for such an approach, this empirical study was sited in a context of institutional upheaval on the understanding that such a context would allow the micro-processes of change to occur.

Second, in the context of institutional upheaval, a University has to make efforts in order to preserve traditional scholarship values - its universal role that has been applied to an institution of higher learning for centuries. The absence at state level of a strategy for the development of science and research creates a vacuum with regard to the purpose of higher education. Therefore, universities may recognize the need for stimulating institutional change - by changing organizations to change institutions. This study suggests that the relationship between institution and organization does not generally unfold as a unidirectional influence whereby the institution shapes the organizational form. This phenomenon of recursivity of the change process is suggested by the organization research in post-socialist context (e.g. Chiaburu, 2006), in the university-supercomplexity relationship (Barnett, 2000), as well as in third-order change studies (Tsoukas & Papoulias, 2005). Part of the empirical data from this study refers to institutional change outcomes initiated at the strategic level, indicating that the end result may be institutional change that is the product of organizational action. As a result, organizational change during institutional upheaval is expected to result in processes of constructing organizations and in subsequent institutional change.

Third, drawing from theoretical models of drivers of organizational change, this study proposes a process theory of organizational change that incorporates two motors. For this reason, this study falls into the camp of organizational research studies conducted in a post-socialist context that does not view the conventional conceptions of transformation and punctuated equilibrium as helpful in capturing the complexity of the organizational process under conditions of institutional upheaval (Soulsby & Clark, 2007). Instead, some evolutionary patterns of change are observed through the initiation of a number of changes introduced for organizations to respond to institutional upheaval. In addition, by choosing two University organizations based on maximal differences in their organizational

structures, the study attempted to account for similarities and differences of the process.

Fourth, a framework for understanding and studying organizational change in the institutional upheaval has been formed, by identifying the most central theoretical explanations found in traditional literature. While a number of well-established theoretical approaches (institutional theory, resource dependence theory, and political perspective) alone only offer a rather incomplete view of change, their combination complemented by a theory of strategic organization design change and sense-making perspective offers a dynamic framework for understanding organizational change. In addition, this study has shown that models and typologies offered by the traditional literature may be useful in offering a framework for understanding the dynamics of change in the institutional upheaval. For instance, unlike other studies conducted in the context of institutional upheaval that have not considered archetypes as useful (see, for example, Newman, 2000), a notion of archetypes is used by this study to define the endpoints of change in situations when an organizing template is stemming from a 'legal source' from the wider environment (e.g. Bologna Declaration in the European higher education).

Fifth, this study identifies strategic ambiguity as 'healthy' for the change process in the two organizations studied. Thus it does not support findings of other studies that have identified ambiguity as an important factor in preventing change (e.g. Hinings & Greenwood, 1988). One reason for these differences may be that Hinings and Greenwood's (1988) study was developed in more stable institutional contexts. However, in the situation of institutional upheaval, ambiguity can be considered as a positive phenomenon. Under conditions of the strategic ambiguity, there would be multiple interpretations of changes and actions for changes created. Much of the early organizational literature assumed that effective organizational interpretations should be shared by all members. Critics of such a viewpoint considered multiple interpretations as promoting autonomy, creativity and organizational adaptability (Contract & Ehrlich, 1993). Therefore, this study falls into the group of studies that has a positive view of ambiguity and considers it as strategic (Bess, 2006). In addition, strategic ambiguity provides opportunities for sense-making and sense-giving. In an arena of collective sense-making, building internal alliances and promoting change initiatives is considered important. Such activities indicate a politicized nature of sense-making. With reference to a top management of for-profit organizations, past research acknowledged that strategic management of previously SOEs has been understood as socio-political sense-making (Clark, 2004). Findings from this study also provide an insight into the political nature of sense-making. This resulted in the identification of the

importance of sense-making and sense-giving processes in an arena of collective decision-making.

11.4 Implications for Policy

Literature on higher education institutions puts forward the notion that Universities (with their change and trajectories of change) are the driving force behind the future socio-cultural, political and economic character of a nation. As suggested by Duke (2002) and Leitner (1998), this seems to be even more accurate in a climate of institutional upheaval, whereby Universities may significantly contribute to the recovery phase of societies experiencing total break down of their systems. Since this study aimed at a better understanding of how higher education institutions redefine themselves to a radically changing environment, its findings may be found as useful by those involved in formulating higher education policy.

One policy implication that may be considered relevant for local and international actors engaged in designing and implementing reforms in BiH higher education would be that what has been achieved so far can be considered as the first phase of organizational reform. Findings show that both organizations involved in this study became involved in symbolic management and organizational restructuring during the period of study. However, if there is a need for preservation of the very idea of the University, then organizational restructuring should be treated as both organizational and institutional change. Similar recommendations were provided by scholars concerned about the preservation of traditional scholarship in the wake of managerial drift in higher education institutions (Gumport, 2000). In case attention is only paid to organizational restructuring, one danger may be that other important aspects of higher education are not reconstructed due to a lack of some system mechanisms. For instance, while introduction of Home Departments may be a way to go in order to integrate disciplines across the University, would such an approach prevent multidisciplinary character of studies in the context where faculties *are* organizational units of the University? In addition, issues of quality assurance in higher education become even more significant in a context where Universities are considered to be the driving force for political and socio-economic development. The introduction of measures, such as the Norms and Standards in Higher Education, is expected to bring about fundamental change and contribute to an increase in the quality of higher education. This study supports calls for the importance of the organizational and institutional framework for development of higher education. Considering the importance of higher education institutions for contemporary societies, this finding suggests that policy framework should allow academic institutions to make progress in developing internal

processes of 'self-reflection' and 'self-criticism' (Barnett, 1990) so as to improve the success of reforms.

11.5 Implications for Further Research

This study seems to have concluded by raising more questions than it set out to answer. A key question arising from this study is the extent to which conventional organization theories are conducive to the study of the empirical context of post-socialist public sector organizations. Another question relates to the degree to which research in transition societies has advanced the ways in which we think about and research contemporary issues in organization and management. This problem is already emphasized in literature (see, for example, Chiaburu, 2006).

The improved understanding of processes of change addressed in this study points towards several suggestions for further research. The findings of this study call for further investigation into the politicized sense-making, indicated as one of the major change facilitators. While this study recognizes that the phenomenon of politicized sense-making may be particularly relevant in the context of collective sense- and decision-making, the political nature of sense-making has received only limited attention in past research.

In addition, findings suggest that there should be a focus in future research on how change is implemented over time and on what factors would be likely to remove organizations from an oscillation phase, or a phase of schizoid incoherence. While the strategic organizational design change theory predicts that a period of twelve years is needed for organizations to make the transition to a new archetype, there are others who argue that organizations are constantly in an oscillating phase. One interesting area of research would be to examine whether the organizations in this study remain in oscillation for longer periods of time than this theory predicts. If this were to be the case then it would also be valuable to discover the reasons, and to study the consequences.

Moreover, this study has demonstrated that a conceptual toolbox involving ambiguity and coordination allowed the attributes of action in a particular setting to be recognized. While these two concepts may be considered by some as 'old stuff' in contemporary organization theory, this study calls for further exploration of the concept of ambiguity due to two reasons. As already mentioned, literature does not always make a clear distinction between the concepts of ambiguity and uncertainty. In addition, a strategic nature of the ambiguity concept may be further investigated in more stable organizational context.

Finally, another important follow-up would be to identify additional facilitators of change that may not have been identified in this work. In so doing, theories of organizational learning and stakeholder perspective may be beneficial. Theories of organizational learning may offer greater insight into identifying patterns of organizational learning that build on indigenous capacities to promote organizational adaptation and change. Stakeholder perspectives may offer further insights into the roles of internal and external stakeholders in promoting change strategies, as well as whether some new stakeholders emerged during the change process.

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Appendices

Appendix 1. Chronology of data sources

| Year | University of Tuzla | | | University of Sarajevo | |
|------|---------------------|------------|--------------|------------------------|------------|
| | Documents | Interviews | Observations | Documents | Interviews |
| 1964 | | | | X | |
| 1968 | | | | X | |
| 1976 | X | | | | |
| 1979 | X | | | X | |
| 1980 | X | | | | |
| 1981 | X | | | | |
| 1982 | X | | | | |
| 1983 | X | | | | |
| 1986 | X | | | | |
| 1987 | X | | | | |
| 1988 | X | | | | |
| 1989 | X | | | | |
| 1990 | X | | | | |
| 1991 | X | | | | |
| 1994 | | | | X | |
| 1997 | | | | X | |
| 2000 | | | | X | |
| 2001 | X | | | | |
| 2002 | X | | | X | |
| 2003 | X | X | | X | X |
| 2004 | X | | | X | |
| 2005 | X | X | X | X | |
| 2006 | X | X | | X | X |
| 2007 | | | | X | |

Appendix 2. List of interviews

| <u>Position</u> | <u>Number of Interviewees</u> | <u>No of Interviews</u> |
|----------------------|-------------------------------|-------------------------|
| Rector | 5 | 8 |
| Vice Rector | 1 | 1 |
| Dean | 5 | 6 |
| Administrative staff | 6* | 4 |
| Academic staff | 5 | 5 |
| General Secretary | 4 | 6 |
| Total | 26 | 30 |

Note: ‘*’ – one group interview at the University of Sarajevo

Appendix 3. Interview Protocols

A) Data Collection (2003): University of Sarajevo, University of Tuzla

Questions were addressing four topics, and interviewees are asked to describe:

- Pressures for change at the university/faculty
- Sources of these pressures
- Organizational factors considered as the most important while responding to these pressures
- Suggestions to improve organizational structure

B) Data collection (2005): University of Tuzla

Questions for Vice Rector addressed the following issues:

- Description of the university's environment
- Examples when the university took advantage of the environment: what happened? why?
- Examples when the university was not able to develop due to constraints that were not caused by internal organizational form: what happened? how this could be explained?
- Examples of events that had a particular impact on the organization in terms of: reorganizing, teaching/learning quality, research activities. Who were main actors? What were their roles?
- Comments on the Institutional Development Plan containing six steps on how the university may change: what is a status of implementation of these steps?
- Examples of situations when the university took an initiative and an active role, which had implications for its organization and work: who were main actors, and what were their roles?

Questions for Bologna Team members addressed the following issues:

- Working conditions in the Bologna sub-teams
- How often Team members meet
- What responsibilities they have
- What planned objectives they have and what they do

C) Data Collection (April 2006): University of Sarajevo, University of Tuzla

Rationale and planned steps

The table below gives an insight on what primary and secondary sources are being utilized for gaining information about the main constructs of the study.

| Concept | Instrumentation/Data Sources |
|--|--|
| Incentives incentives- motivation | Project documents (budgets, years of implementation, aims and objectives, how many staff from university/faculties participated, achievements); Interviews (Rectors, Vice Rectors and/or Deans) |
| Forms forms - inertia | Organizational documents: charts, procedures and ideologies; mission statements Interviews (Rectors, Vice Rectors and/or Deans) |
| Regulation regulation- structuration | Canton's Higher Education Laws, Umbrella Higher Education Law, Amendments to the Higher Education Laws: Interview (General Secretary and/or Rectors/Deans) Higher Education Laws |
| Integration | Interviews (Rectors, Vice Rectors, Deans, General Secretary) Documents: mission, vision, syllabi, program portfolios |

Questions for Senate members:

Rector/Vice Rector/Dean: questions sets I, II, III, IV

General Secretary: question set IV

Relations

*to main
constructs*

*Main and follow-up guiding questions addressed the
following issues:*

| | |
|---|---|
| I. Integration (autonomous, cooperative centralized) – general questions | <ul style="list-style-type: none"> ▪ Description of a function/role ▪ Types of decisions being involved in: examples of decisions, procedures, communication of decision among staff, approval of decisions by other bodies (whom) ▪ Information on the closest associates: who they are, how often they meet, what they discuss |
|---|---|

| | |
|--|--|
| <p>I.a Specific Questions for Sarajevo Senate's members:</p> | <ul style="list-style-type: none"> ▪ What is the importance of the Campus Building project: status of the project, who is involved, who is opposed ▪ What is the importance of the "Information Technology (IT) Solution for the University" Project: funding, obstacles, resources ▪ What is importance of the document "Organization of the Integrated University": aim, implications, concrete steps |
| <p>I.b Specific questions for Tuzla Senate's members</p> | <ul style="list-style-type: none"> ▪ The integrated university, 5 years after: what are your experiences with regard to University organization? What are your experiences with regard to faculty cooperation; efficiency of centralized services; responsiveness to reforms, etc.? |
| <p>II. Incentives - Motivation</p> | <ul style="list-style-type: none"> ▪ Information about Higher Education policy reform: what reform, examples, designed and funded by whom ▪ What other types of externally funded projects exist: examples, implications for the organization |
| <p>III. Forms - Inertia</p> | <ul style="list-style-type: none"> ▪ Comments about the existing organizational structure: advantages, disadvantages, what can be improved, is staff supportive of change |
| <p>IV. Legislation - Structuration</p> | <ul style="list-style-type: none"> ▪ Information about changes in the Higher Education Law, importance of the Umbrella Higher Education Law, implications of lack of the Umbrella Higher Education Law, implications and consequences of the existing law |
| <p>IV.a Specific questions for Sarajevo Senate's members:</p> | <ul style="list-style-type: none"> ▪ In the Senate's memo (dated November 15th, 2005), a need for urgent Canton's legislation has been explicitly stated. Also, prime minister of the Canton has participated at this meeting. What happened? Who started the campaign for changing the law? Who supports it? Is there any opposition? |

D) Data collection (December 2006): University of Sarajevo, University of Tuzla

1) University of Sarajevo

1) Introduction to the Interview questions:

“In a period 2004-2006, your University has commenced a numerous change initiatives, both administrative and academic. I am interested to learn more about factors that contributed (or not) to start these change initiatives from the University level towards either Canton’s authorities or faculties and academies. I am also interested in development of these initiatives (i.e. some of them evolved into the rules and were specified in the law amendments or rulebooks, some others are still in development or stagnation phase, whereas some of them never developed).”

2) Interview questions differed for different interviewees. Questions for the Rector, IT Solution Project Coordinator, and General Secretary were tailored in accordance to their roles. These questions addressed several issues:

- Introduction of European Credit Transfer System (ECTS): information about the Round Table event, actors involved, implementation, information about ECTS Manual
- Home Departments: how it started, what events/factors contributed to its development
- Curricula Reform: how are changes in the study programs and plans initiated, what are procedures, who approves changes
- Temporary Study Rules: what are procedures for defining these rules, who was involved in preparing them, why these rules were important, who approved them
- Rules on Groups’ Tasks and Performance: who initiated preparation, why they were important
- Organization of Science and Research: who was involved in preparation of this concept, what initiated preparation of this concept, what was a main purpose, what is a status
- Canton’s Higher Education Law: whose initiative was to invite the Prime Minister and Ministers of Finance and of Education and Science to the Senate’s meeting, comments about conclusions made

at that Senate's meeting, what changes are accepted in the Law amendments?

- Campus building: status and next steps
- Information Technology (IT) Solution for the University: status, key success factors

II) University of Tuzla

1) Introduction to the Interview questions:

“In a period 2002-2006, your University has commenced a numerous change initiatives, both administrative and academic. I am interested to learn more about factors that contributed (or not) to start these change initiatives from the University level towards either Canton's authorities or faculties and academies. I am also interested in development of these initiatives (i.e. some of them evolved into the rules and were specified in the law amendments or rulebooks, some others are still in development or stagnation phase, whereas some of them never developed).”

2) Interview questions differed for different interviewees. Questions for the Rector, Vice Rector, Higher Education Union President/QA Coordinator and General Secretary were tailored in accordance to their roles. These questions addressed several issues:

- Senate's Role: how it changed in the new university model, what are the implications
- Curricula Reform: implementation process, role of the Central Committee
- Home Department: enabling factors for its completion
- Analysis of students' achievements: importance, implementation
- Organization of new study programs: importance, procedures
- Teaching Coverage Plans: relevance for other issues, relevance for the Proposal on Standards and Norms in Teaching
- Transformation from two-year into the three-year study programs: importance, procedure, implementation
- Equivalency in Teachers' Appointments: importance, procedure

- Organization of Science and Research: importance of appointing eight committees, examples of their work
- Office for Teaching and Student's Affairs: role, importance

Appendix 4. List of interviewees

Interviewees at the University of Sarajevo (UoSA) and University of Tuzla (UoTZ)

| <u>Interviewee</u> | <u>Period</u> | <u>Recorded/Transcribed</u> |
|---|---------------|-----------------------------|
| #1 Rector, UoTZ | 2003 | yes |
| #2 Dean, UoTZ | 2003 | yes |
| #3 Dean, UoTZ | 2003 | yes |
| #4 Rector, UoSA | 2003 | yes |
| #5 Dean, UoSA | 2003 | yes |
| #6 Dean, UoSA | 2003 | yes |
| #7 Vice Rector, UoTZ | 2005 | notes taken |
| #8 BT member, UoTZ | 2005 | yes |
| #9 BT member, UoTZ | 2005 | yes |
| #10 BT member, UoTZ | 2005 | yes |
| #11 Acting Rector, UoTZ | 2006 | notes taken |
| #12 Rector, UoTZ | 2006 | yes |
| #13 Dean, UoTZ | 2006 | yes |
| #14 Center for Interdisc. Studies, UoSA | 2006 | notes taken |
| #15 Rector, UoSA | 2006 | answered via email |
| #16 Dean, UoSA | 2006 | yes |
| #17 Faculty's General Secretary, UoSA | 2006 | notes taken |
| #18 General Secretary, UoSA | 2006 | yes |
| #19 Rector, UoSA | 2006 | yes |
| #20 General Secretary, UoSA | 2006 | yes |
| #21 Project Coord., UoSA | 2006 | yes |
| #22 Project Coord., UoSA | 2006 | notes taken |
| #23 BT Group, UoSA | 2006 | notes taken (group) |
| #24 Office for Teaching and Students' Affairs, UoTZ | 2006 | yes |
| #25 Higher Education Union President/QA Coordinator, UoTZ | 2006 | yes |
| #26 Rector, UoTZ | 2006 | yes |
| #27 General Secretary, UoTZ | 2006 | yes |
| #28 Deputy General Secretary, UoTZ | 2006 | notes taken |
| #29 Ex-Rector, UoTZ | 2006 | yes |
| #30 General Secretary, UoSA | 2006 | yes (telephone) |

Note: 'BT' – Bologna Team
'QA' – Quality Assurance

Appendix 5. Documents reviewed

Source: University of Sarajevo

| Document type | Number of documents per year |
|---|--|
| Senate's Memos | 2 (2004), 10 (2005), 8 (2006) |
| Institutional Development Plan | 1 (2003) |
| Organization of Integrated University (including Proposal on Home Departments, and Financing the Integrated University) | 1 (2004) |
| Self-Evaluation Reports | 1 (2004) |
| Strategy for Development of University's IT Solution | 1 (2004) |
| Quality Assurance of the Teaching-Scientific Process | 1 (2004) |
| Establishing System of Quality Assurance | 1 (2006) |
| Rectorate's Annual Reports | 1 (2002), 1 (2004), 1 (2005), 1 (2006) |
| Canton's Higher Education Law | 1 (1999) |
| Canton's Higher Education Law Amendments | 1 (2000), 1 (2001), 1 (2002), 2 (2003), 2 (2004), 1 (2005), 1 (2006) |
| University Statute | 1 (2000), 1 (2005) |
| University's Bulletins | 1 (1968), 1 (1997), 1 (2000), 1(2003), 1(2005) |
| Campus' Development Plan | 1 (2005) |
| Monograph | 1 (1964), 1 (1994) |
| Temporary Study Rules in Bologna Process | 1 (2005) |
| Study Rules in Bologna Process | 1 (2006) |
| Examination Rulebook for Students in Bologna Process | 1 (2006) |
| University's Tele-Informatics Center Statute (UTIC) | 1 (2004) |
| Reports from the Workshop on Counseling for Higher Education Reform and Implementation of the Bologna Process | 19 (2007) |

Source: University of Tuzla

| Document type | Number of documents per year |
|--------------------------------|--|
| Senate's Memos | 14 (2002), 13 (2003), 11 (2004), 14 (2005), 17 (2006) |
| Institutional Development Plan | 1 (2003) |
| Statement on Internal Planning | 1 (2001) |
| Rectorate's Annual Reports | 1 (2003), 1 (2004), 1 (2005) |
| University's Bulletins | 1 (1979), 1 (1980), 1 (1981), 1 (1982), 1 (1983), 1 (1987), 1 (1988), 1 (1989), 1 (1990), 1 (1991) |

| | |
|--|--------------------|
| Framework Plan for Development of Science and Research | 1 (2004), 1 (2005) |
| Statute | 1 (1979) |
| Monograph | 1 (1976), 1 (1986) |

Other Sources

| Document type | Number of documents per year |
|---|--|
| Federation BiH Statistical Bureau Reports for Higher Education | 1 (1999), 1 (2000), 1 (2001), 1 (2002), 1 (2003), 1 (2004), 1 (2005), 1 (2006) |
| Sarajevo Canton's Higher Education Law | 1 (1999) |
| Sarajevo Canton's Higher Education Law Amendments | 1 (2000), 1 (2001), 1 (2002), 2 (2003), 2 (2004), 1 (2005), 1 (2006) |
| Sarajevo Canton's Standards and Norms in Higher Ed. | 1 (2006) |
| Tuzla Canton's Standards and Norms in Higher Ed. | 1 (2006) |
| Tuzla Canton's Higher Education Law | 1 (1999) |
| Tuzla Canton's Higher Education Law Amendments | 1 (2000), 1 (2005) |
| Umbrella Higher Education Law | 1 (2003), 1 (2007) |
| European University Association (EUA) Evaluation Report of BiH's Universities | 1 (2004) |

Appendix 6A. Initial list of codes

CHANGE PROPERTIES

| | |
|---|-----------|
| CP: OBJECTIVES | CP-OBJ |
| CP: IMPLIED CHANGES – TEACHING/RESEARCH | CP-CH/T-R |
| CP: IMPLIED CHANGES – STRUCTURE | CP-CH/STR |
| CP: IMPLIED CHANGES – AUTONOMY | CP-CH/AUT |
| CP: IMPLIED CHANGES – ACCOUNTABILITY | CP-CH/ACC |

EXTERNAL CONTEXT

| | |
|-----------------|-----------|
| EC: PRESSURES | EC-PRESS |
| EC: ENDORSEMENT | EC-ENDORS |

INTERNAL CONTEXT

| | |
|-------------------------------|---------|
| IC: CHARACTERISTICS | IC-CHAR |
| IC: NORMS AND AUTHORITY | IC-NORM |
| IC: REFORM HISTORY | IC-HIST |
| IC: ORGANIZATIONAL PROCEDURES | IC-PROC |

CHANGE PROCESS

| | |
|---------------------|----------|
| CP: MOTIVES | CP-MOT |
| CP: INERTIA | CP-INERT |
| CP: CRITICAL EVENTS | CP-CRIT |
| CP: PLAN | CP-PLAN |
| CP: READINESS | CP-READY |
| CP: CAPABILITY | CP-CAP |

TRANSITION

| | |
|--|-------------|
| TR: INITIAL EXPERIENCE | TR-START |
| TR: EFFECTS ON ORGANIZATIONAL PRACTICE | TR-ORG/PRAC |
| TR: EFFECTS ON TEACHING AND RESEARCH | TR-T/R |
| TR: IMPLEMENTATION PROBLEMS | TR-PROBL |

Appendix 6B. Definition of initial codes

CP-OBJ:

Objectives and goals of ongoing higher education reforms, as found in documents and expressed by informants.

CP-CH/T-R:

Indices of implications of ongoing reforms on faculty teaching and research, as recounted by academic staff.

CP-CH/STR:

Indices of implications of ongoing reforms on organizational structure, as found in a new law regulative and recounted by management and staff members, both at university and faculty levels.

CP-CH/AUT:

Indices of implications of reforms on organizational autonomy, as found in a new law regulative and recounted by management and staff members, both at university and faculty levels.

CP-CH/ACC:

Indices of implications of reforms on accountability of institutions, as found in documents and recounted by organizational members.

EC-PRESS:

Indices of environmental pressures for the reforms, as recounted by organizational members and found in written documents.

EC-ENDORS:

Indices of activities to support higher education reforms, such as public opinion and establishment of certain bodies.

IC-CHAR:

Indices of organizational characteristics such as size, organizational forms, decision making processes and other legacies.

IC-NORM:

Indices of organizational norms and authority patterns.

IC-HIST:

Indices of reform history, as found in documents and recounted by organizational members.

IC-PROC:

Indices of organizational procedures and practices as found in documents and recounted by organizational members.

CP-MOT:

Indices of motivation of organizational members to implement higher education reforms, as recounted by the organizational members.

CP-INERT:

Indices of inertia among organizational members to implement higher education reforms, as recounted by the organizational members.

CP-CRIT:

Events, as recounted by the organizational members, that were crucial for further steps in the implementation of higher education reforms.

CP-PLAN:

Account of plans made for implementation of higher education reforms, as found in documents.

CP-READY:

Indices of readiness of organizational members to implement higher education reforms, as found in documents and recounted by the organizational members.

CP-CAP:

Indices of capability of universities and their members to implement the changes projected, as recounted by the respondents.

TR-START:

Indices of the initial experience of higher education reforms suggesting what issues were easier and what more difficult to implement, as recounted by the respondents.

TR-ORG/PRAC:

Indices of impact of reforms on: a) intra-organizational planning, monitoring and daily working arrangements (e.g. staffing, scheduling, use of resources, communication among staff and faculties), and b) inter-organizational practices (e.g. relationships with ministry, governing boards, community, and international agencies).













TR-T/R:

Indices of impact of reforms on teaching and research, as recounted by respondents.

TR-PROBL:

Indices of implementation challenges as recounted by respondents.

Appendix 6C. Final list of codes

| <i>Tree nodes</i> | <i>Nodes</i> |
|--|---------------------------------|
| imitation  | rewriting |
| | copying |
| overload of initiatives  | initiatives |
| emergence of multiple structures  | organization of teaching |
| | interdependence |
| perceived ambiguity  | intra-organizational complexity |
| | procedural complexity |
| | financial issues |
| | inter-organizational complexity |
| | individual dilemma |
| weak institutional context  | lack of resources |
| | lack of law |
| organizational properties  | implementation challenges |
| | lack of mandate |
| | lack of planning |
| | system dysfunction |
| competing understandings  | inheritance |
| | responsibility |
| | resistance |
| | role perception |
| coordination of action  | education about reform |
| | benchmark |
| | support base |
| | providing conditions |
| commitment building  | pressure building |
| | persuasion tactics |
| image building  | internal statements |
| | external perception |
| improvisation  | legitimacy seeking |
| | new organization of teaching |
| | market-orientation |
| | gradual changes |
| consolidation  | maneuvering |
| | planning |
| | compatibility |
| | increased dependence |

Appendix 7. University of Sarajevo: Main Events and Outcomes

| Strategic | | | | |
|---|---|--|--|--|
| 2004 | Jan-Jun 2005 | Jul-Dec 2005 | Jan-Jun 2006 | Jul-Dec 2006 |
| Reform introduced on Senate's agenda | Round Table | Dissatisfaction with Law amendments | Instructions for curricula | Study Rules |
| Inquiry for the new University Statute | Guidelines for Home Department | Temporary Study Rules | Parallel studies | Development Program for postgraduate, implementation of ECTS, Science and Research |
| | | Postgraduate studies | Inquiry for Analysis of student's achievements | |
| | | Appeals to change the Law | Drafting the new law with Canton's teams | |
| | | | Establishment of Quality Assurance | |
| Organizational | | | | |
| 2004 | Jan-Jun 2005 | Jul-Dec 2005 | Jan-Jun 2006 | Jul-Dec 2006 |
| Appointment of 8 Committees for the Statute | 6-member Committee to define Home Dept. | Joint Graduation Day | University HE Union | Committee for Quality Assurance modified |
| | Draft University Statute | Committee to define Rules for salaries | Rules for part-time students | |

| | | |
|--------------------------------|----------------------------|---|
| ECTS Manual | New Diplomas, chain, gowns | Committee for Establishing Quality Assurance |
| Rector's Counseling Body | | Home Departments defined |
| | | Project for professional Development |
| | | Rules on Groups' Tasks |

Institutional

| 2004 | Jan-Jun 2005 | Jul-Dec 2005 | Jan-Jun 2006 | Jul-Dec 2006 |
|------|--|---|----------------------------|--|
| | Debate at the Cantonal Assembly about the Law amendments | Prime Minister, Ministers of Education and Science and of Finance at Senate meeting | Amendments to the Assembly | Examination Rules |
| | | | | Standards and Norms in higher education |

Appendix 8. University of Tuzla: Main Events and Outcomes

| <u>Strategic</u> | | | | | | |
|--|--|--|--|---|---|--|
| <u>2002</u> | <u>2003</u> | <u>Jan-Jun 2004</u> | <u>Jul-Dec 2004</u> | <u>Jan-Jun 2005</u> | <u>Jul-Dec 2005</u> | <u>2006</u> |
| Support for postgraduate studies | Amendments to HE Law proposed | Teaching process questioned | Support for two-year studies | Rector to negotiate student quotas with government | Deans to prepare proposals for Home Departments | Inquiry for two-year studies |
| Curricula Reform | Support new study programs | Proposal on Standards and Norms in Teaching | Adjustments to cope with a lack of teaching staff | Deans responsible for postgraduate programs | | Amendments University Rules |
| Open University | University mngt engagement in postgraduate curricula | Inquiry for harmonizing curricula at undergraduate level | Initiative for Faculty of Law | Modified Proposal for Development of Science and Research | | Split among study programs |
| Measures to improve student achievements | Clarification Central Committee Tasks | Six new study programs | Office for Teaching and Student's Affairs in charge of Home Dept | Diploma Supplement | | Home Department completed |
| | Initiative for Faculty of Pharmacy | | Transfer to Canton's Budget Scheme | Initiative for organization of three-year studies | | 4 three-year study Proposals submitted to the Ministry |
| | Requirements for Curricula reform, | | Change in enrollment | | | Equivalence of Academic Appointments |

| | | |
|---|--|---|
| Teaching covering plans and Student achievements | policy for pupils with high GPA | Five-semester into three-year studies |
| Deans' accountability emphasized | Instructions on establishing postgraduate programs | Increased student quota proposed |
| Requirements for organization of three-year studies | Proposal for Development of Science and Research | Proposal for Organization of Science and Research |
| | Center for Publishing | From two-year into three-year studies |
| | Verification Rules | Max teaching load |

Organizational

| <u>2002</u> | <u>2003</u> | <u>Jan-Jun 2004</u> | <u>July-Dec 2004</u> | <u>Jan-Jun 2005</u> | <u>July-Dec 2005</u> | <u>2006</u> |
|--|--|---------------------|---|---|-----------------------------------|------------------------------------|
| Committee for the Analysis of students' achievements | Central Committee | Bologna Team | 3 postgraduate curricula | 4 new postgraduate programs | Student Coordinator in the Senate | Rector discontinues |
| | | Ethics Committee | | | | 5 new postgraduate programs |
| Office for Teaching and Student Affairs | Postgraduate studies at Faculty of Defectology | | Committee for establishing two-year studies | Proposals for Standards and Norms in Teaching | Daily reports on enrollments | |
| | Committee for | | University mngt. | Template of | Home Department at 8 faculties | 5 Centers at Faculty of Philosophy |

| | | | | | | |
|--|---|--------------|--|--------------------|--|---|
| responsible for Curricula Reform | University Publishing Fund | | team deciding on vacancies | Diploma Supplement | Faculties to discuss measures for students' achievements | HE Union as observer at Senate |
| 11 study programs and 2 new organizational units | Center for Multimedia | | Postgraduate studies at Sport and Philosophy | | Recruitment of best students | Committee to define one-year postgraduate studies |
| | Organization of Open University | | | | Committee for preparing organization of PhD studies | 8 committees to prepare Proposals on organization of Science and Research |
| | Postgraduate studies at El. Eng. and Philosophy | | | | Postgraduate studies Faculty of Law | |
| Institutional | | | | | | |
| 2002 | 2003 | Jan-Jun 2004 | July-Dec 2004 | Jan-Jun 2005 | July-Dec 2005 | 2006 |
| Higher Education Law | | | | | Law amendments | Conflict in Laws about Rector's appointment |
| | | | | | | Standards and Norms In Higher Education |